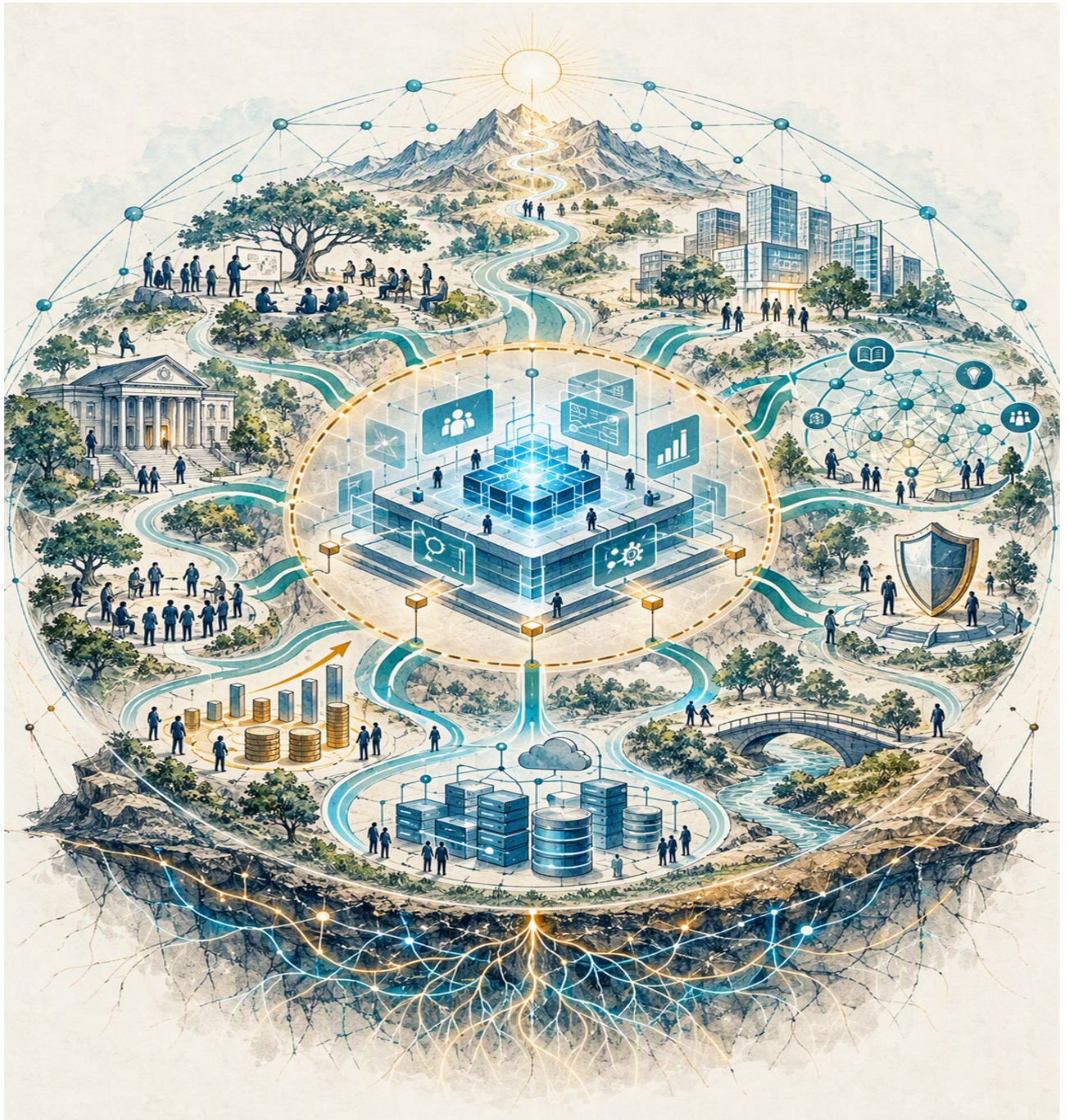


How can an FCO keep promises that can be checked?

Requirements, Controls, Acceptance and Compliance Architecture



Start here

A commitment becomes answerable only when it is translated into a requirement, secured by an operating control, accepted through separated judgement and stated honestly for a declared object. Compliance is therefore not a badge, score or maturity ladder. It is a current, traceable and challengeable claim.

Hold these ideas first

- Nothing is compliant unless it can be traced from commitment to profile and back.
- Compliance is asserted about a declared object, never an organisation in general.
- Conformance, Assurance and Renewal remain separate and are never averaged into a score.
- The constitutional floor does not scale down.
- Affected parties must be able to locate the protection, challenge the position and obtain remedy.

A worked route through the architecture

Follow one commitment from its source paper into a journey, requirement family, control, acceptance record, Compliance Object and three-part Compliance Profile. Then trace it back again, including conditions, exceptions, degradation, remedy and Renewal.

How to read this paper

- ORIENT: understand the public question and the architectural boundary.
- UNDERSTAND: follow the worked route, distinctions and failure conditions.
- EXPLORE: inspect the canonical structures, roles, relationships, lifecycle and controls.
- REFERENCE: use definitions, invariants, provenance and validation material for precision.

Status note. The frozen source architecture remains authoritative. These pages add orientation and explanation without silently replacing controlled definitions, decisions or accepted visuals.

Requirements, Controls, Acceptance and Compliance Architecture

How a Frontier Capability Organisation turns its commitments into requirements that can be controlled, accepted, evidenced, challenged and renewed

EMPOWER YOUR WORLD | WP06.9 | v1.0 FINAL | 22 September 2026

FREEZE STATUS AND CHANGE CONTROL

v1.0 FINAL, frozen canonical architecture baseline. Authoring was completed against the frozen Canonical Journey Stack, Requirement Taxonomy, Compliance Architecture, Register Architecture and stress-test outcomes, and the decisions raised during authoring are recorded in Appendix D. The final production pass produced and inserted VA-01 to VA-06, separated Renewal Currency from Renewal Effect as a clarification of the frozen Renewal model (AR-08), closed the table-header accessibility findings, corrected the WP06.12 reference in IA-01 and completed final consistency and visual quality assurance. No journey, requirement family, Control Domain, Compliance Object class or register was changed, so the version remains v1.0 FINAL.

Attribute	Value
Document	WP06.9 Requirements, Controls, Acceptance and Compliance Architecture
Version	v1.0 FINAL
Status	Frozen canonical architecture baseline
Owner	Simon Owen
Date	22 September 2026
Series role	Requirement, control, acceptance, traceability and compliance architecture for the Frontier Capability Organisation (FCO)
Supersedes	WP06.9 v1.0 Frozen Canonical Architecture Baseline (structural outline)
Frozen inputs	Canonical Journey Stack (4+3+2); Requirement Taxonomy (FR-01 to FR-16); Compliance Architecture (CO-01 to CO-08; Conformance, Assurance, Renewal); Register Architecture (three registers, bidirectional traceability); sixteen retained stress-test outcomes
Companion artefacts	Visual catalogue and production record for VA-01 to VA-06 (Appendix A), with detailed build specifications in the companion WP06.9 Visual Production Specifications v1.0; representative register entries (Appendix B); traceability walkthrough (Appendix C); architectural decision record (Appendix D); glossary (Appendix E)

FRONT MATTER

1. Purpose, ownership and reading guide

WP06.9 defines how the commitments made across the WP06 series become requirements that are specific enough to control, accept and evidence, and how the compliance position of a declared object is stated without collapsing into a score. It is the paper that makes the rest of the series testable.

It does not add new values to the FCO. Every requirement in this paper traces to a commitment already made elsewhere: rights, authority and remedy in WP06.2, canonical semantics and lineage in WP06.3, Human Value and lived journeys in WP06.5, transition and propagation in WP06.6, Domain activation and lifecycle in WP06.7, operating decisions in WP06.8, evidence and assurance methods in WP06.11 and capability-value exchange in WP06.12. WP06.9 owns

the machinery that converts those commitments into requirement, control and acceptance obligations and keeps them traceable in both directions.

READ THIS FIRST

WP06.9 is not a certification scheme, a maturity model or a checklist completed once. It is an architecture for stating what must be true, how it is made true, who accepts that it is true enough, and how that position is kept current. Compliance here is a disciplined, challengeable claim about a declared object, never a badge about an organisation.

Layer	Question	WP06.9 construct
Orientation	Why does compliance matter to an FCO?	Constitutional Compliance Proposition
Structure	Which journeys generate obligations?	Canonical Journey Stack (4+3+2) and cross-cutting arcs
Obligation	What must be true?	Functional Requirement Architecture (sixteen families)
Mechanism	How is it made true?	Control Architecture (nine Control Domains)
Judgement	Who decides it is true enough?	Acceptance Architecture
Integrity	Can every claim be traced both ways?	Traceability Architecture
Scope	What exactly is being assessed?	Compliance Objects and Boundaries (CO-01 to CO-08)
Position	How is the result expressed?	Compliance Profile (Conformance, Assurance, Renewal)
Record	Where is the trace kept?	Requirement, Control and Acceptance Registers
Challenge	How does it fail, recover and resist capture?	Exceptions, failure and remedy, anti-capture safeguards

Owns	Does not own
Requirement taxonomy and statement discipline; requirement subjects; Control Architecture and Control Domains; acceptance events and decision states; traceability rules; Compliance Objects and boundary rules; the Compliance Profile; the three registers; proportionality, exception, equivalence and compensating-control rules; compliance failure, remedy and anti-capture safeguards.	Rights, authority and remedy principles (WP06.2); canonical semantics and lineage (WP06.3); Observatory interpretation (WP06.4); lived journeys and Human Value (WP06.5); propagation and entrustment mechanics (WP06.6); Domain Mesh and activation (WP06.7); operating decisions, roles and Capacity (WP06.8); technical implementation (WP06.10, planned); evidence and assurance methods (WP06.11); value-exchange economics (WP06.12).

1.1 How to read this paper

Reader	Start with	Then read
Sponsor or governing	Sections 2, 3, 13 and 21	Sections 15 and 18; Appendix D

Reader	Start with	Then read
authority		
Architect or designer	Sections 5 to 12	Sections 14 and 16; Appendix C
Assurance provider	Sections 10, 11 and 13	Sections 16 and 18; WP06.11
Steward or Domain owner	Sections 6, 7 and 12	Sections 15 and 17
Affected party or advocate	Sections 2, 13 and 17	FR-13, FR-15 and FR-16 in Section 8
Implementer (WP06.10)	Sections 11 and 14	Appendices B and C

1.2 Normative language

“Shall” states a requirement whose departure must be recorded as an exception or equivalence. “Should” states expected practice whose departure must be explained. “May” states a permission. Defined constructs are capitalised when used in their defined sense, for example Compliance Object, Compliance Profile, Acceptance Record and Degradation Event.

1.3 Frozen inputs

Frozen element	Frozen content	Treatment in this paper
Canonical Journey Stack	Four Value-Creating, three Constitutional and two Ecosystem journeys; Renewal as universal principle	Section 6; not re-opened
Requirement Taxonomy	Sixteen families, FR-01 to FR-16	Section 8; families authored, not re-scoped
Compliance Architecture	CO-01 to CO-08; Conformance, Assurance and Renewal; no maturity levels, no overall percentage, no automatic inheritance	Sections 12 and 13
Register Architecture	Requirement, Control and Acceptance Registers; mandatory bidirectional traceability	Sections 11 and 14
Stress-test outcomes	Sixteen retained constructs	Integrated at point of use; indexed in Section 20.1

WHY COMPLIANCE MATTERS

2. Why Compliance Matters

An FCO makes unusually demanding promises. It claims that capability can be formed through real work, that contribution is recognised, that opportunity is allocated legitimately, that people can pause, leave and return, that affected parties can challenge decisions, and that the system learns from failure rather than concealing it. Promises of this kind are easy to write and hard to keep. Without a compliance architecture they decay into aspiration: accepted in principle, unevicenced in practice and invisible when broken.

Compliance matters because it is the point at which the FCO’s commitments become answerable. A requirement states what must be true. A control states how it is made true. An acceptance decision states who judged it true enough, on what evidence, for which object. A

profile states the position honestly, including where it is conditional, excepted or lapsing. Together they make the organisation's claims challengeable by the people those claims affect.

Compliance also matters because conventional compliance can itself do harm. It can privilege what is easy to evidence over what matters, concentrate power in those who define and assess standards, reward documentation over behaviour, and create a market in which assurance is bought rather than earned. WP06.9 is therefore designed as much to constrain compliance as to require it.

Without WP06.9	Consequence	WP06.9 response
Commitments without requirements	Values cannot be tested; failure is always arguable	Requirement statements with subject, beneficiary, condition and strength
Requirements without controls	Obligations depend on goodwill	Owned controls with operating evidence and degradation triggers
Controls without acceptance	Operation is assumed, never judged	Acceptance by separated, practically independent authority
Acceptance without traceability	Claims cannot be reconstructed or challenged	Bidirectional traceability across three registers
Compliance as a score	Averages hide failure concentrated on a few	Compliance Profile with no overall percentage
Compliance as inheritance	Configurations borrow unearned credibility	No automatic inheritance; Material Adjacency Test
Compliance as a market	Assurance is shaped by those assured	Assurance Market Capture safeguards
Compliance as a one-off	Positions go stale while claims persist	Renewal dimension and Sufficient Renewal

COMPLIANCE TEST

A compliance claim is legitimate only if an affected party could locate the requirement that protects them, the control that should have operated, the decision that accepted it and the route by which they can challenge it.

THE CONSTITUTIONAL PROPOSITION

3. Architectural Proposition

CANONICAL PROPOSITION

A Frontier Capability Organisation demonstrates that it keeps its commitments by expressing them as traceable requirements, operating proportionate controls against them, accepting their effect through

separated and challengeable judgement, and maintaining an honest, current Compliance Profile for every declared Compliance Object.

The proposition is deliberately structural. It does not claim that compliance proves an FCO is good. It claims that an FCO which cannot trace its commitments through requirement, control and acceptance to a current profile cannot credibly claim to keep them. It extends the series proposition carried in the frozen baseline: an FCO is recognised through the observable behaviour of a capability ecosystem that forms capability, propagates capability, institutionalises capability, creates legitimate value, remains challengeable, recovers from failure and increases future capability over time. WP06.9 supplies the observability that makes each of those clauses checkable.

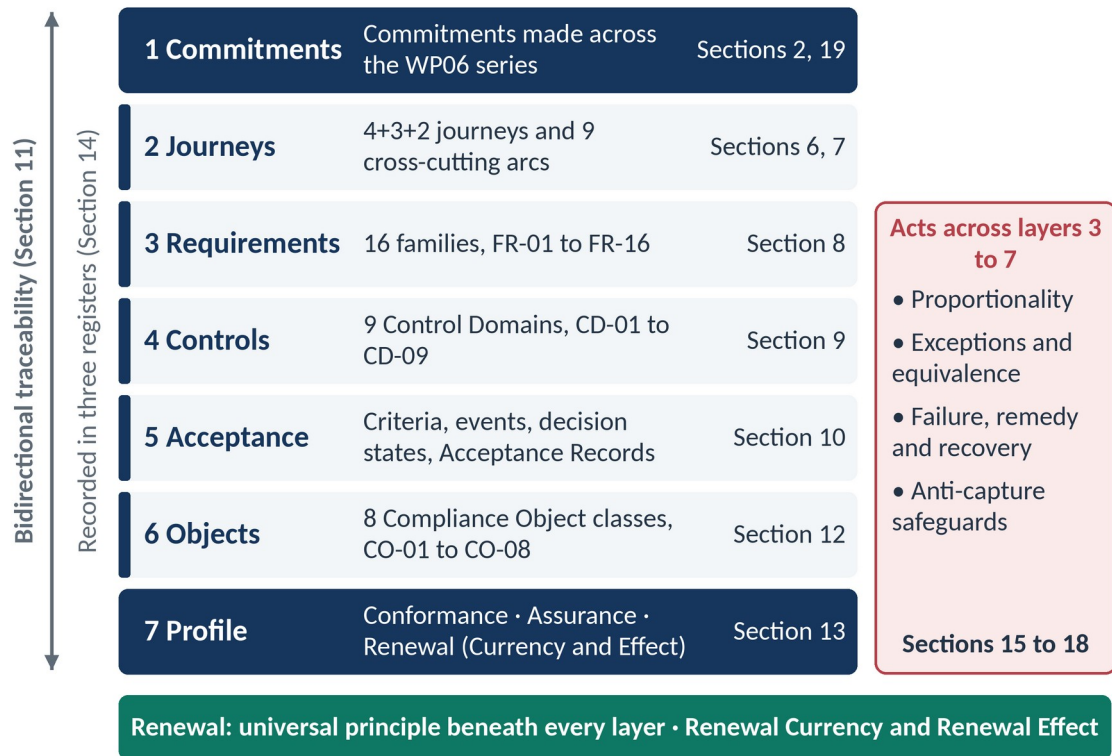
3.1 Architecture laws

Law	Statement	Consequence
L1 Traceability	Nothing is compliant that cannot be traced from commitment to profile and back.	Orphan requirements and orphan controls are defects.
L2 Object specificity	Compliance is asserted about a declared Compliance Object, never about an organisation in general.	Every profile names its object and boundary.
L3 No automatic inheritance	The compliance of a component is evidence for, not proof of, the compliance of anything that contains or uses it.	Configurations are profiled in their own right.
L4 Plural position	Conformance, Assurance and Renewal are reported separately and never combined.	No overall percentage and no maturity level.
L5 Separated judgement	Those who design or operate a control do not accept its effect alone.	The Practical Independence profile applies to acceptance.
L6 Proportionality with a floor	Requirements scale to consequence; the constitutional floor does not.	Minimum Sufficient Compliance.
L7 Visible exception	Departures are recorded, compensated, time-bound and reviewed cumulatively.	Exception Accumulation Control.
L8 Remedy precedes closure	A failure is not closed while affected parties carry unremedied harm.	Unremedied Residual Harm is recorded.
L9 Renewal is universal	Every requirement, control, acceptance and profile carries a renewal obligation covering both the currency of the compliance position and its effect on future capability.	Sufficient Renewal replaces calendar ritual; Renewal Currency and Renewal Effect are reported separately.
L10 Compliance is itself governed	The compliance system is subject to its own requirements, challenge and capture safeguards.	Section 18.

3.2 The Constitutional Compliance Stack

The Constitutional Compliance Stack (VA-01) arranges the architecture as seven layers from commitment to position. Each layer consumes the one above it and is answerable to the one below it.

Constitutional Compliance Stack



WP06.9 | VA-01 | v1.0 FINAL

Figure 1. VA-01 Constitutional Compliance Stack. Seven layers from commitment to profile, with bidirectional traceability, cross-cutting safeguards and Renewal beneath every layer.

Layer	Content	Section
1 Commitments	Constitutional, value-creating and ecosystem commitments made across the WP06 series	2, 19
2 Journeys	The 4+3+2 Canonical Journey Stack, with Renewal as universal principle, and nine cross-cutting arcs	6, 7
3 Requirements	Sixteen Requirement Families and standard-form requirement statements	8
4 Controls	Nine Control Domains and control specifications	9
5 Acceptance	Acceptance criteria, events, decision states and Acceptance Records	10
6 Objects	Eight Compliance Object classes and declared boundaries	12
7 Profile	Conformance, Assurance and Renewal position per object, with Renewal shown as Renewal Currency and Renewal Effect	13

Traceability (Section 11) runs vertically through all seven layers, and the three registers (Section 14) are where that traceability is recorded. Proportionality, exceptions, failure and remedy, and anti-capture safeguards (Sections 15 to 18) act across the whole stack rather than at any one layer.

WHAT THIS PAPER GOVERNS

4. Scope, Boundaries and Non-Goals

WP06.9 applies wherever an FCO, or a participant acting within an FCO ecosystem, claims that a commitment is being kept. It applies to EYW's own FCO practice, to organisations adopting the FCO model and to partnership and supply relationships in which FCO commitments are shared.

4.1 In scope

- The statement, classification, ownership and derivation of requirements from the WP06 series.
- The design, operation, degradation and replacement of controls.
- Acceptance criteria, acceptance events, decision states and the authority to accept.
- Bidirectional traceability and its integrity rules.
- The declaration of Compliance Objects and their boundaries.
- The Compliance Profile and its three dimensions.
- The Requirement, Control and Acceptance Registers.
- Proportionality, exceptions, equivalence and compensating controls.
- Compliance failure, remedy, recovery and anti-capture safeguards.

4.2 Boundaries with external regimes

WP06.9 does not replace law, regulation or external standards. Where an external regime applies, for example data protection, employment, safeguarding, accessibility, AI or sector regulation, its obligations are imported as requirements carrying an external-source attribute and are controlled and accepted through the same machinery. Where an external regime is stricter, it prevails. Where WP06.9 is stricter, WP06.9 applies in addition. An external certificate may be cited as evidence within an Acceptance Record; it never substitutes for one.

4.3 Non-goals

Non-goal	Why it is excluded	Where the concern sits
Maturity model	Levels reward progression rather than sufficiency and invite league tables.	Compliance Profile (Section 13)
Overall compliance percentage	Averages hide concentrated failure and invite gaming.	Profile per object and requirement set
Organisation-level certification	Organisations are not Compliance Objects; aggregation is bounded and shown as a distribution.	CO-07 (Section 12.4)
Evaluation of individual performance	Compliance concerns systems and configurations, not personal worth.	WP06.5 and WP06.8
Assurance methodology	Evidence and assurance methods are owned elsewhere in the series.	WP06.11
Technical	Tooling, schemas and workflow engines	WP06.10 (planned)

Non-goal	Why it is excluded	Where the concern sits
implementation	are implementation choices.	
Legal interpretation	WP06.9 imports external obligations but does not interpret law.	Qualified advisers

BOUNDARY TEST

If a compliance position looks favourable only because burdens, dependencies or affected parties sit outside the declared boundary, the boundary is wrong, not the profile.

WHO REQUIREMENTS BIND AND PROTECT

5. Requirement Subjects

A requirement is incomplete until it names who must satisfy it, who it protects and who is answerable when it is not met. WP06.9 separates three roles that conventional compliance often collapses into one.

Role	Definition	Test
Requirement Subject	The party, object or configuration whose behaviour or state the requirement governs.	Could this party reasonably act to satisfy it?
Requirement Beneficiary	The party whose interests the requirement exists to protect or enable.	Would this party notice if it failed?
Accountable Party	The human or legal person answerable for satisfaction, remedy and renewal.	Can this party be challenged and required to act?

5.1 Subject classes

Subject class	Typical requirements	Accountability note
Individual participant	Participation, contribution, entrustment and exit obligations	Obligations proportionate to the individual's Agency and support; never system obligations transferred to individuals.
Community	Collective participation, stewardship and succession	Accountable Party is the declared steward group, not the membership.
Organisation	Transition, operation, value realisation and governance	Named authority under the WP06.8 operating model.
Domain	Interface, lifecycle and governed-entity obligations	Domain owner under WP06.7.
Service or Capability Environment	Access, accessibility, evidence handling and continuity	Service owner.
Human-Agent Configuration	Appropriate reliance, authority limits, containment and oversight	Agents may be Requirement Subjects; they are never Accountable Parties.

Subject class	Typical requirements	Accountability note
Partner or supplier	Reciprocal exchange, shared controls and distributed remedy	Allocated by agreement; accountability cannot be left unallocated.
Steward	Continuity, succession and custodial obligations	Stewardship obligations must be resourced, consistent with WP06.12.
Assurance provider	Independence, disclosure and method discipline	Subject to Assurance Market Capture safeguards.
Governing authority	Authorisation, exception approval and profile publication	Subject to challenge under FR-15.

5.2 Supported Participation Principle

RETAINED CONSTRUCT · SUPPORTED PARTICIPATION PRINCIPLE

Where a requirement binds an individual, it shall be satisfiable with reasonable support. A requirement that can be met only by an unaided, fully resourced and fully confident participant is defective and shall be redesigned, not enforced.

The principle guards against a quiet failure in capability systems: obligations written for the most advantaged participant and then applied to everyone. It requires every individual-subject requirement to identify its supported route (assisted completion, alternative format, an advocate, extended time or an equivalent), controls to verify that the route exists and works, and acceptance to consider whether the requirement is being met through support rather than despite its absence. It applies most strongly to FR-02, FR-03, FR-13 and FR-15, and is carried as anchor requirement FR-02.03.

5.3 Agents as Requirement Subjects

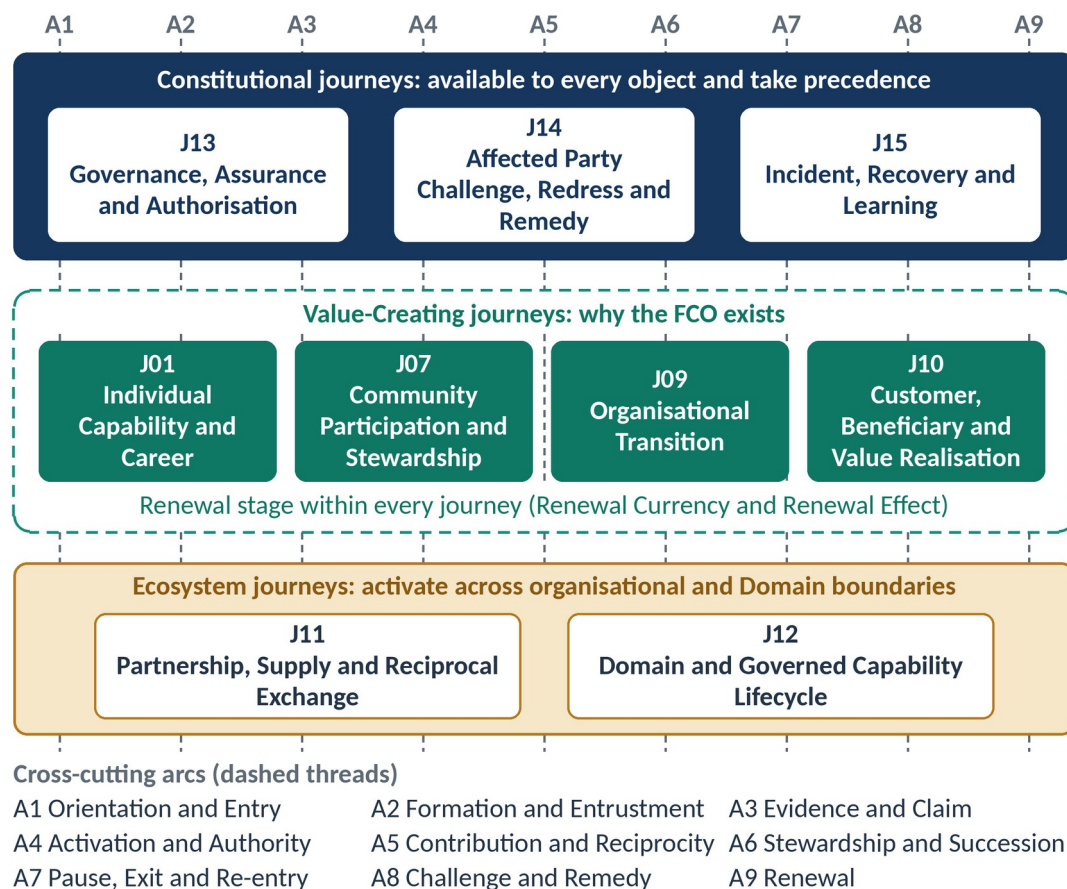
Human-Agent Configurations (CO-05) introduce subjects that act but cannot be answerable. WP06.9 therefore allows an agent to be a Requirement Subject, for example “the matching agent shall not allocate an opportunity above the declared consequence threshold without human authorisation”, while requiring every such requirement to name the human Accountable Party and the control through which that accountability operates. Agent compliance is never self-attested: an agent’s own logs are evidence, never acceptance.

WHERE OBLIGATIONS COME FROM

6. Canonical Journey Stack

Requirements are derived from journeys because journeys are where commitments are experienced. The Canonical Journey Stack contains nine journeys in three classes (VA-02). The classes differ in purpose, not importance: Value-Creating journeys are why the FCO exists, Constitutional journeys keep it legitimate, and Ecosystem journeys allow it to operate beyond its own boundary.

4+3+2 Journey Model



WP06.9 | VA-02 | v1.0 FINAL

Figure 2. VA-02 4+3+2 Journey Model. Constitutional journeys take precedence over Value-Creating journeys, which rest on Ecosystem journeys; nine arcs cut across all three tiers.

Class	Journey	Purpose	Primary families
Value-Creating	J01 Individual Capability and Career	Forming, evidencing and activating individual capability across a working life	FR-01, FR-03, FR-04, FR-05, FR-13
Value-Creating	J07 Community Participation and Stewardship	Belonging to, contributing to and stewarding Communities	FR-06, FR-07, FR-08
Value-Creating	J09 Organisational Transition	Moving an organisation towards and through FCO operation	FR-10, FR-05, FR-09
Value-Creating	J10 Customer, Beneficiary and Value Realisation	Realising legitimate value for those the FCO serves	FR-09, FR-06, FR-04
Constitutional	J13 Governance, Assurance and Authorisation	Authorising action, assuring claims and governing exceptions	FR-14, FR-04
Constitutional	J14 Affected Party Challenge, Redress and Remedy	Enabling anyone affected to challenge, obtain correction and receive remedy	FR-15, FR-13

Class	Journey	Purpose	Primary families
Constitutional	J15 Incident, Recovery and Learning	Containing harm, recovering and learning from failure	FR-16, FR-15
Ecosystem	J11 Partnership, Supply and Reciprocal Exchange	Governing exchange with partners and suppliers	FR-11, FR-06
Ecosystem	J12 Domain and Governed Capability Lifecycle	Creating, operating and retiring Domains and governed capabilities	FR-12, FR-08

6.1 Class rules

Rule	Statement
Constitutional precedence	Where a Value-Creating or Ecosystem journey conflicts with a Constitutional journey, the Constitutional journey prevails and the conflict is recorded in the Requirement Register.
Constitutional availability	J13, J14 and J15 are available to every Compliance Object and cannot be scoped out by proportionality.
Value-creating declaration	Each Compliance Object declares which Value-Creating journeys it serves; it need not serve all four.
Ecosystem activation	J11 and J12 apply whenever an object crosses an organisational boundary or depends on a governed Domain.
Renewal universality	Every journey includes a renewal stage; Renewal is not a tenth journey.

6.2 Renewal as universal principle

Renewal is not a journey because it has no subject of its own. It is the obligation carried by every journey to return, periodically and after material change, to whether its requirements, controls and acceptance remain fit, and to what is happening to the future capability the journey depends on. Placing Renewal inside every journey prevents it becoming a separate programme that can be deprioritised. It surfaces in three places: FR-10 carries the operational renewal of organisations and services; the Renewal dimension of the Compliance Profile carries both Renewal Currency, whether the compliance position has been re-examined sufficiently, and Renewal Effect, whether future capability is being depleted, maintained, replenished or regenerated; and the Sufficient Renewal test (Section 13.4) defines when renewal is adequate on both counts.

6.3 Journey identifiers

The canonical journey identifiers are non-contiguous. Identifiers that do not appear in the stack are reserved and shall not be reused, so that references made during discovery and in companion papers remain unambiguous.

WHAT RUNS THROUGH EVERY JOURNEY

7. Cross-Cutting Journey Arcs

Some obligations do not belong to one journey. They recur wherever people and objects move through the FCO. WP06.9 names these as cross-cutting arcs. Arcs are not additional journeys and do not create additional requirement families; they are a lens that ensures a family is applied consistently in every journey where the arc appears.

Arc	What it follows	Journeys	Families
A1 Orientation and Entry	First contact, explanation and informed entry	All	FR-01, FR-02
A2 Formation and Entrustment	Learning, practice, feedback and progressive entrustment	J01, J07, J09, J12	FR-03
A3 Evidence and Claim	Evidence creation, interpretation and lineage	All	FR-04
A4 Activation and Authority	Opportunity, mobilisation and delegated authority	J01, J09, J10, J11	FR-05
A5 Contribution and Reciprocity	Attribution, recognition and return	J01, J07, J10, J11	FR-06
A6 Stewardship and Succession	Continuity of care, knowledge and custody	J07, J09, J12	FR-08
A7 Pause, Exit and Re-entry	Stepping back, leaving and returning without penalty	All	FR-13
A8 Challenge and Remedy	Raising concern, correction and redress	All	FR-15
A9 Renewal	Review, learning and re-acceptance	All	FR-10; all profiles

7.1 Arc consistency rule

Where an arc appears in more than one journey, the family it carries shall be applied through a common requirement with journey-specific parameters rather than through divergent journey-specific requirements. This prevents exit, challenge or evidence rights from being stronger in one journey than another without a declared reason.

7.2 Practical Voluntariness Test

RETAINED CONSTRUCT · PRACTICAL VOLUNTARINESS TEST

Participation, contribution, disclosure or consent is voluntary only if a participant can decline without disproportionate practical consequence to their opportunity, standing, income, relationships or access to support. Formal choice with practical penalty is not choice.

The test operates across arcs A1, A5 and A7. It is applied at requirement design (does the requirement assume a voluntariness it cannot guarantee?), at control design (does the control detect practical penalty?) and at acceptance (is there evidence that declining carries no disproportionate consequence?). Stewardship, mentoring and Community labour are the highest-risk areas, consistent with the WP06.12 warnings against coerced volunteering and Meaning as Compensation. It is carried as anchor requirement FR-06.03.

7.3 Contextual Exit Rule

RETAINED CONSTRUCT · CONTEXTUAL EXIT RULE

Every participant and every partner shall have a route to pause or exit. The terms of exit may vary with context where immediate exit would cause harm to others, but exit shall never be made impossible,

indefinitely deferred or punitive, and any transitional obligation shall be bounded, proportionate and supported.

The rule reconciles two legitimate claims: the right to leave, and the interest of others who rely on a steward, a supplier or a Human-Agent Configuration continuing to function. It permits orderly exit, such as a bounded handover, a notice period or a custodial transfer, but not captive exit. It applies to people through FR-13, to Communities and stewards through FR-08, to partners through FR-11 and to Domains through FR-12.

WHAT MUST BE TRUE

8. Functional Requirement Architecture

The Functional Requirement Architecture organises every WP06.9 requirement into sixteen families (VA-03). The families are frozen. Each family has a purpose, a scope boundary, principal journeys, principal Compliance Objects and a set of anchor requirements that every declared object in scope must address. Anchor requirements are the canonical minimum of each family; objects add parameterised or contextual requirements beneath them.

Functional Requirement Landscape



WP06.9 | VA-03 | v1.0 FINAL

Figure 3. VA-03 Functional Requirement Landscape. The sixteen frozen families by stack class, with principal Control Domain, principal journeys and constitutional floor markers.

8.1 Requirement statement discipline

Every requirement shall be written in a standard form so that it can be controlled, accepted and challenged.

Element	Content	Example
Identifier	Family and sequence	FR-13.02
Subject	Who or what must satisfy it	The Service or Capability Environment
Obligation	A “shall” statement in observable terms	shall provide a documented route to pause participation
Condition	When it applies	whenever participation creates continuing obligations

Element	Content	Example
Beneficiary	Who is protected or enabled	the individual participant
Rationale	Commitment and source paper	WP06.2 exit rights; WP06.5 Agency
Strength	Constitutional, Core or Contextual	Constitutional
Acceptance intent	What evidence would show it is met	pause completed without loss of recorded capability evidence

8.2 Requirement strength

Strength	Meaning	Proportionality	Departure
Constitutional	Protects rights, challenge, containment, exit or supported participation; forms the constitutional floor	Cannot be scoped out	Not waivable; equivalence only
Core	Required for any object serving the relevant journey	Rigour may be scaled	Exception only with compensating control, expiry and accumulation review
Contextual	Applies where object class, risk or context triggers it	Applicability decided at declaration	Non-applicability recorded with reasons

Requirement strength is not a maturity level. It describes how a requirement behaves under proportionality and exception, not how advanced an organisation is.

8.3 The sixteen families

FR	Family	Purpose	Journeys	Objects
FR-01	Discovery, Explanation and Direction	Participants can find, understand and choose a direction before committing	J01, J07, J10	CO-01, CO-04
FR-02	Identity, Participation Context and Access	Participation is established with proportionate identity, correctable context and accessible entry	All	CO-02, CO-04
FR-03	Learning, Practice, Feedback and Entrustment	Capability forms through practice, feedback and progressive, reversible entrustment	J01, J07, J09	CO-01, CO-05
FR-04	Evidence, Claims, Interpretation and Lineage	Claims rest on proportionate evidence with visible interpretation and lineage	All	CO-01, CO-04, CO-05
FR-05	Opportunity, Activation, Mobilisation and Authority	Opportunity and authority are allocated legitimately and transparently	J01, J09, J10	CO-04, CO-05, CO-07
FR-06	Contribution, Attribution, Recognition and Reciprocity	Contribution is attributed fairly and returned appropriately	J07, J10, J11	CO-02, CO-06
FR-07	Community, Relationship and	Communities remain permeable, safe and	J07	CO-02

FR	Family	Purpose	Journeys	Objects
	Collective Participation	collectively governed		
FR-08	Stewardship, Succession and Continuity	Care, knowledge and custody survive the departure of individuals	J07, J12	CO-02, CO-03
FR-09	Value Realisation, Adoption and Appropriate Reliance	Value is realised and relied on appropriately, not assumed	J09, J10	CO-04, CO-05
FR-10	Transition, Experimentation, Operation and Renewal	Change is staged, experiments are bounded and operation renews	J09	CO-04, CO-07
FR-11	Partnership, Supply and Reciprocal Exchange	Exchange across boundaries is reciprocal, allocated and exit-capable	J11	CO-06, CO-08
FR-12	Domain, Interface and Governed-Entity Lifecycle	Domains and governed entities are created, interfaced and retired under control	J12	CO-03
FR-13	Portability, Accessibility, Pause, Exit and Re-entry	Participants can carry capability with them, participate accessibly, pause, leave and return	All	CO-01, CO-04
FR-14	Governance, Assurance, Authorisation and Exceptions	Authority, assurance and exception are exercised legitimately and visibly	J13	All
FR-15	Affected Parties, Challenge, Correction, Redress and Remedy	Anyone affected can challenge, obtain correction and receive remedy	J14	All
FR-16	Incident, Containment, Recovery and Learning	Harm is contained proportionately, recovery is real and learning is retained	J15	All

8.4 Anchor requirements: formation and evidence families (FR-01 to FR-05)

These families carry the individual capability arc from first contact to activated opportunity. Their common risk is that obligations and evidence standards are written for the most visible and best-resourced participant; the Supported Participation Principle, Evidence Visibility Bias and Separation of Opportunity Functions are therefore anchored here.

ID	Anchor requirement	Strength	Linked construct
FR-01.01	The Service or Capability Environment shall explain purpose, obligations, costs and likely consequences in accessible language before a participant commits.	Core	Supported Participation
FR-01.02	Direction offered to a participant shall disclose the basis of any recommendation, including where it is generated or assisted by an agent.	Core	Appropriate reliance
FR-01.03	A participant shall be able to choose a direction that differs from a recommendation without penalty.	Core	Practical Voluntariness

ID	Anchor requirement	Strength	Linked construct
FR-02.01	Participation shall be established with identity assurance proportionate to its consequence, and no greater.	Core	Minimum Sufficient Compliance
FR-02.02	Participation context (role, affiliation, support needs) shall be recorded only where needed and shall be correctable by the participant.	Core	WP06.2 privacy
FR-02.03	Every obligation placed on an individual shall have a documented supported route that achieves the same outcome.	Constitutional	Supported Participation
FR-03.01	Entrustment shall increase progressively on evidence of capability in context, with the basis of each decision recorded.	Core	WP06.6 entrustment
FR-03.02	Practice environments shall provide feedback that is timely, specific and attributable to its source.	Core	Evidence lineage
FR-03.03	Entrustment shall be reducible or withdrawable when evidence changes, through a recorded decision the participant can challenge.	Core	FR-15 challenge
FR-04.01	Every capability claim shall carry lineage to its evidence and to the interpretation applied.	Core	WP06.3 lineage
FR-04.02	Evidence frameworks shall be tested for Evidence Visibility Bias at each renewal and shall provide routes for less-visible contribution to be evidenced.	Core	Evidence Visibility Bias
FR-04.03	Interpretations made or assisted by agents shall be identifiable as such and open to human review.	Core	CO-05
FR-05.01	The definition, allocation and outcome evaluation of an opportunity shall be performed by separated parties; no single actor or agent controls all three.	Core	Separation of Opportunity Functions
FR-05.02	Allocation criteria shall be available to eligible participants before allocation.	Core	WP06.12 converter power
FR-05.03	Delegated authority shall be bounded, recorded and revocable.	Core	WP06.8 decision rights

8.5 Anchor requirements: contribution, community and operation families (FR-06 to FR-10)

These families carry collective participation, stewardship and organisational value. Their common risk is extraction presented as belonging, and delivery presented as value. The Practical Voluntariness Test and Sufficient Renewal are anchored here, alongside the appropriate-reliance requirements that apply to agent outputs.

ID	Anchor requirement	Strength	Linked construct
FR-06.01	Contribution shall be attributed to those who made it, including collective and less-visible contribution.	Core	Evidence Visibility Bias
FR-06.02	Recognition and return shall be proportionate to contribution and shall not	Core	WP06.12 value ecology

ID	Anchor requirement	Strength	Linked construct
	substitute meaning for fair economic return.		
FR-06.03	Contribution requested of participants shall pass the Practical Voluntariness Test.	Constitutional	Practical Voluntariness
FR-07.01	A Community shall maintain published routes of entry and shall review its permeability at each renewal.	Core	Community Elitism safeguard
FR-07.02	A Community shall have a declared steward group, decision process and route of challenge.	Core	FR-15
FR-07.03	Harm arising within collective participation shall be routed to challenge and incident handling without requiring the affected member to confront the Community.	Core	FR-15, FR-16
FR-08.01	Every stewarded object shall have a named steward and an identified successor route.	Core	WP06.6 successor formation
FR-08.02	Custodial knowledge shall be captured sufficiently for continuity without the original steward.	Core	Contextual Exit Rule
FR-08.03	Stewardship load shall be visible and resourced; unresourced stewardship shall be reported as a risk.	Core	WP06.12 Steward Burnout
FR-09.01	Value claims shall identify beneficiary, value form and evidence of realisation, not delivery alone.	Core	WP06.12 value forms
FR-09.02	Reliance on outputs, including agent outputs, shall be proportionate to their demonstrated reliability and to the consequence of error.	Core	Appropriate reliance
FR-09.03	Adoption shall be supported until the beneficiary can operate without engineered dependency.	Contextual	WP06.12 dependency posture
FR-10.01	Transitions shall be staged with declared entry, exit and reversal criteria.	Core	WP06.6 transition
FR-10.02	Experiments shall be bounded in scope, duration and affected parties, with informed agreement where affected parties are exposed to material risk.	Core	Practical Voluntariness
FR-10.03	Operating services shall carry a renewal plan that satisfies the Sufficient Renewal test.	Core	Sufficient Renewal

8.6 Anchor requirements: ecosystem families (FR-11 and FR-12)

These families carry obligations across organisational and Domain boundaries. Their common risk is that accountability dissolves at the interface. Material Adjacency, the Contextual Exit Rule and Shared Causation and Distributed Remedy are anchored here.

ID	Anchor requirement	Strength	Linked construct
FR-11.01	Partnership and supply agreements shall allocate every shared control and every remedy obligation, including a designated remedy provider.	Core	Shared Causation and Distributed Remedy
FR-11.02	Exchange shall be reciprocal, and the value, burden and risk to each party shall be	Core	WP06.12 participant

ID	Anchor requirement	Strength	Linked construct
	declared.		exchange
FR-11.03	Each party shall have an exit route satisfying the Contextual Exit Rule, including agreed portability of jointly created assets.	Core	Contextual Exit Rule
FR-12.01	Domain creation shall declare purpose, interfaces, owner, dependants and retirement criteria.	Core	WP06.7 lifecycle
FR-12.02	Interfaces between Domains and governed entities shall be specified and controlled so that adjacency effects are visible.	Core	Material Adjacency Test
FR-12.03	Domain retirement shall protect dependants through notice, migration support and custody of evidence created within the Domain.	Core	FR-13 portability

8.7 Anchor requirements: constitutional families (FR-13 to FR-16)

These families carry the constitutional floor. With the two individual-protection anchors in FR-02 and FR-06, their Constitutional requirements apply to every Compliance Object regardless of size and cannot be excepted.

ID	Anchor requirement	Strength	Linked construct
FR-13.01	Participants shall be able to export their capability evidence in a usable, portable form.	Constitutional	WP06.3 lineage
FR-13.02	Participants shall be able to pause participation without loss of recorded capability or standing.	Constitutional	Contextual Exit Rule
FR-13.03	Participants shall be able to exit and re-enter; re-entry shall recognise prior capability evidence.	Constitutional	Contextual Exit Rule
FR-13.04	Services shall meet their declared accessibility requirements, including any imported external standard.	Constitutional	Supported Participation
FR-14.01	Every consequential action shall have an identifiable authorisation route.	Constitutional	WP06.8 decision rights
FR-14.02	Assurance shall be provided by parties meeting the Practical Independence profile appropriate to consequence.	Core	Practical Independence
FR-14.03	Exceptions shall be approved by an authority other than the requester, compensated, time-bound and subject to Exception Accumulation Control.	Constitutional	Exception Accumulation Control
FR-15.01	Any affected party shall have an accessible route to challenge a decision, record or claim affecting them.	Constitutional	Supported Participation
FR-15.02	Correction shall propagate to every decision and record that relied on the corrected item.	Constitutional	Decision Contamination Review
FR-15.03	Remedy shall be provided to affected parties without waiting for causation to be allocated between contributors.	Constitutional	Shared Causation and Distributed Remedy

ID	Anchor requirement	Strength	Linked construct
FR-15.04	Unremedied Residual Harm shall be recorded, acknowledged and reviewed, and shall not be closed as resolved.	Constitutional	Unremedied Residual Harm
FR-16.01	Containment actions shall be preceded, or where urgent immediately followed, by a Containment Consequence Assessment.	Constitutional	Containment Consequence Assessment
FR-16.02	Recovery shall verify that affected parties are restored, not only systems.	Core	Recovery acceptance
FR-16.03	Learning from incidents shall be recorded and shall change requirements, controls or acceptance criteria where warranted.	Core	Sufficient Renewal
FR-16.04	Degradation Events shall be recorded and treated as incident precursors.	Core	Degradation Events

8.8 Evidence Visibility Bias

FAILURE MODE: EVIDENCE VISIBILITY BIAS

Evidence Visibility Bias occurs when a requirement, control or acceptance decision over-credits what is easily observed, recorded or quantified and under-credits contribution, capability or harm that is less visible. It systematically advantages participants whose work produces artefacts and disadvantages those whose work prevents problems, holds relationships or cares for others.

Visibility bias is treated as a failure mode rather than a single requirement because it can arise in any family. It is controlled through FR-04.02 and FR-06.01, through detective controls in Control Domain CD-03, and through a question that every Acceptance Record must answer: what relevant evidence was absent, and does its absence change the decision? Agent-mediated evidence pipelines are especially exposed because they amplify whatever is machine-readable.

8.9 Requirement derivation

Requirements are derived, not invented. Derivation proceeds from commitment (source paper and section) to journey stage, to family, to requirement. A proposed requirement that cannot name its commitment is rejected or escalated as a potential gap in the series. A commitment that produces no requirement is recorded as a coverage gap in the Requirement Register. Imported external obligations follow the same path, with the external regime recorded as the source commitment.

HOW IT IS MADE TRUE

9. Control Architecture

A control is a designed, owned and operated mechanism that makes a requirement more likely to be satisfied, detects when it is not, or corrects and recovers from the consequence. Controls may be human, procedural, technical, agentic or hybrid. WP06.9 does not prefer any one form. It

requires every control to trace to at least one requirement, to have a named human owner, to operate observably and to declare how it degrades.

9.1 Control Domains

Controls are organised into nine Control Domains aligned to the families they principally serve. A control belongs to one Control Domain but may serve requirements in several families. Control Domains organise ownership and the Control Register; they do not create additional requirements.

CD	Control Domain	Families served	Typical controls
CD-01	Participation, Access and Portability	FR-01, FR-02, FR-13	Supported-route verification, accessibility testing, export and re-entry tests
CD-02	Formation and Entrustment	FR-03	Entrustment decision records, feedback quality sampling, withdrawal review
CD-03	Evidence and Lineage	FR-04	Lineage completeness checks, visibility-bias sampling, agent interpretation flags
CD-04	Opportunity and Authority	FR-05	Function separation gates, criteria publication, delegation records, allocation-pattern analysis
CD-05	Contribution, Community and Stewardship	FR-06, FR-07, FR-08	Attribution review, voluntariness checks, permeability review, succession readiness
CD-06	Value, Transition and Operation	FR-09, FR-10	Realisation evidence gates, reliance calibration, stage-gate and reversal criteria
CD-07	Ecosystem and Domain	FR-11, FR-12	Control and remedy allocation matrices, interface contracts, retirement protocols
CD-08	Governance, Assurance and Exception	FR-14	Authorisation routes, independence checks, exception accumulation review, register integrity checks
CD-09	Challenge, Remedy, Incident and Recovery	FR-15, FR-16	Challenge intake, contamination tracing, containment consequence assessment, residual harm review

9.2 Control types

Type	Purpose	Example	Degradation signal
Directive	States expected behaviour and makes it known	Published allocation criteria	Criteria outdated or inaccessible
Preventive	Stops a failure occurring	Role separation enforced in allocation workflow	Separation overridden under time pressure
Detective	Reveals a failure that has occurred	Visibility-bias sampling of recognition decisions	Sampling skipped or drawn from

Type	Purpose	Example	Degradation signal
			unrepresentative sources
Corrective	Restores the required state	Entrustment withdrawal and review protocol	Correction delayed beyond its declared window
Recovery	Restores affected parties after harm	Remedy provision with residual harm review	Remedy offered but not received

9.3 Control specification

Attribute	Content
Identifier	CTL-nnn with Control Domain and version
Objective	The requirement effect the control secures
Requirements served	One or more requirement identifiers (mandatory; a control with none is an orphan)
Type and nature	Directive, preventive, detective, corrective or recovery; human, procedural, technical, agentic or hybrid
Control owner	Named accountable human role
Operator	Who or what performs the control, including agents
Operating evidence	What the control produces each time it operates
Frequency or trigger	Continuous, periodic or event-triggered
Design rationale	Why the control should work if operated as designed
Degradation triggers	Observable conditions that constitute a Degradation Event
Compensating control	Pre-declared fallback if the control fails or is excepted
Renewal	Time, change and learning triggers under Sufficient Renewal

9.4 Separation of Opportunity Functions

RETAINED CONSTRUCT · SEPARATION OF OPPORTUNITY FUNCTIONS

The definition of an opportunity, the allocation of that opportunity and the evaluation of its outcome are distinct functions. No single person, group or agent shall control all three for the same opportunity, and where two are combined the combination shall be declared and compensated.

Opportunity is where capability becomes consequence, and where concentrated converter power (WP06.12) does most harm. Combining definition and allocation lets opportunities be shaped around preferred candidates; combining allocation and evaluation lets allocators validate their own choices. Separation is principally a preventive control in CD-04, supported by detective analysis of allocation patterns. In small Communities full separation may be impractical; the rule then requires declaration of the combination, a compensating detective control and open access to challenge, consistent with Minimum Sufficient Compliance.

9.5 Degradation Events

RETAINED CONSTRUCT · DEGRADATION EVENT

A Degradation Event is any observed condition in which a control operates below its designed effectiveness without yet producing a

failure: reduced coverage, delayed operation, bypass, operator overload, stale criteria, unregistered model or configuration change, or loss of independence.

Conventional compliance records control failures. FCO compliance also records degradation, because most harm arrives through controls that weaken gradually. Degradation Events are recorded against the Control Register entry, prompt re-examination of the Acceptance Records that rely on the control and appear in the Conformance dimension of the profile as a condition. Repeated degradation of the same control is treated as an incident precursor under FR-16.04.

9.6 Agentic controls

Agents may operate controls, and in many environments will operate most detective controls. WP06.9 requires that an agentic control has a human control owner; that its operating evidence is reviewable by someone other than the agent; that its degradation triggers include model, data and configuration change; and that it is never the sole control for a Constitutional requirement. Human-Agent Configurations (CO-05) are profiled as objects in their own right precisely because agentic controls can fail silently.

WHO DECIDES IT IS TRUE ENOUGH

10. Acceptance Architecture

Acceptance is the judgement that a requirement is satisfied for a declared object, to a sufficient standard, by controls that are designed and operating, on evidence adequate for the consequence. Acceptance is a decision made by an identified authority, recorded, reasoned and challengeable. It is not the absence of objection and it is not the completion of a checklist.

10.1 Acceptance events

Event	Question	When	Typical authority
Design acceptance	Would the controls satisfy the requirement if operated as designed?	Before operation or material change	Design authority with independent review
Operational acceptance	Are the controls operating and is the requirement satisfied in practice?	After a declared operating period	Authority meeting the Practical Independence profile
Exception acceptance	Is a departure justified, compensated and bounded?	When a requirement cannot be met	Governing authority under FR-14.03
Renewal acceptance	Does the prior acceptance remain valid after time, change or learning, and what is the Renewal Effect on the future capability the object needs?	At a renewal trigger	Acceptance authority
Recovery acceptance	Have controls and affected parties been restored after failure?	After incident, correction or remedy	Acceptance authority with affected-party input

10.2 Acceptance decision states

State	Meaning	Profile effect
Accepted	Requirement satisfied on adequate evidence	Conformant for that requirement
Accepted with Conditions	Satisfied subject to stated conditions with due dates	Conformant with Conditions; conditions shown
Accepted under Exception	Not satisfied; departure approved with compensating control and expiry	Conformant under Exception; counts towards accumulation
Not Accepted	Not satisfied and no exception approved	Non-Conformant for that requirement
Suspended	Prior acceptance no longer relied on pending review	Not Determined; triggers Decision Contamination Review where decisions relied on it
Lapsed	Renewal not completed by its trigger	Renewal Currency shows Lapsed; Conformance not asserted; Renewal Effect still reported

10.3 Acceptance criteria

Acceptance criteria are written with the requirement, not after the control. Each criterion states the observable condition, the evidence expected, the sufficiency standard appropriate to consequence and the known limits of that evidence. Every set of criteria shall include at least one question addressed to Evidence Visibility Bias and, for individual-subject requirements, one addressed to the Supported Participation Principle.

10.4 Separation of acceptance authority

The authority that accepts shall be practically independent of those who designed and operate the control. Independence is assessed through the Practical Independence profile (Section 13.3), not through organisation charts alone. For Constitutional requirements, acceptance shall also include input from, or on behalf of, the Requirement Beneficiary.

10.5 Acceptance Records

Every acceptance decision produces an Acceptance Record in the Acceptance Register. The record identifies the object, requirements, controls, event, state, evidence and its known gaps, authority, independence basis, beneficiary input, conditions, exceptions, dissent, renewal trigger, Renewal Currency status, Renewal Effect assessment and challenge route. The Acceptance Record is the atomic unit from which the Compliance Profile is composed: no profile statement may be made that is not supported by a current Acceptance Record.

ACCEPTANCE TEST

An acceptance decision is sound when a competent person who did not make it could reconstruct why it was made, identify what evidence was missing and know how to challenge it.

EVERY CLAIM, BOTH WAYS

11. Traceability Architecture

Traceability is the property that allows any compliance claim to be followed from the commitment that justified it to the profile that asserts it, and back again. Bidirectional traceability is mandatory. Downward traceability shows that every commitment is carried into practice. Upward traceability shows that every control and every acceptance decision exists for a reason.

11.1 The trace chain

Link	From	To	Cardinality
T1	Commitment (source paper)	Journey stage	One to many
T2	Journey stage	Requirement	One to many; arcs apply common requirements across journeys
T3	Requirement	Control	Many to many; at least one control per in-scope requirement
T4	Requirement	Acceptance criterion	One to many; at least one criterion per requirement
T5	Control and criterion	Acceptance Record	Many to many; each record cites both
T6	Acceptance Record	Compliance Object	Many to one for each object and boundary version
T7	Current Acceptance Records for an object	Compliance Profile	Composed, never averaged

11.2 Traceability integrity rules

Rule	Statement	Defect if breached
TR-01	Every requirement traces upward to a commitment and at least one journey.	Unjustified requirement
TR-02	Every requirement in scope for an object traces downward to at least one control and one acceptance criterion.	Uncontrolled requirement
TR-03	Every control traces upward to at least one requirement.	Orphan control: an undocumented requirement or bureaucracy
TR-04	Every Acceptance Record cites object, requirement, control, evidence and authority.	Unsupported acceptance
TR-05	Every profile statement cites current Acceptance Records.	Unsupported claim
TR-06	Every exception traces to the requirement departed from and the compensating control.	Invisible exception
TR-07	Every correction traces to the decisions that relied on the corrected item.	Uncontained contamination
TR-08	Traces are versioned; a changed requirement, control or boundary invalidates dependent acceptance until renewal.	Stale acceptance

11.3 Decision Contamination Review

RETAINED CONSTRUCT · DECISION CONTAMINATION REVIEW

When evidence, a control, an acceptance decision or an agent is found to have been flawed, every decision that relied on it during the affected period shall be identified through upward and downward traces, assessed for material effect, and corrected or remedied where necessary.

Decision Contamination Review is the practical reason traceability must run in both directions. Without upward traces, a flawed control cannot be linked to the requirements it was meant to protect. Without downward traces, a corrected record cannot be linked to the opportunities, entrustments or allocations made in reliance on it. The review is required by FR-15.02, operated through CD-09 and recorded in the Acceptance Register as part of a Recovery acceptance event.

11.4 Traceability and lineage

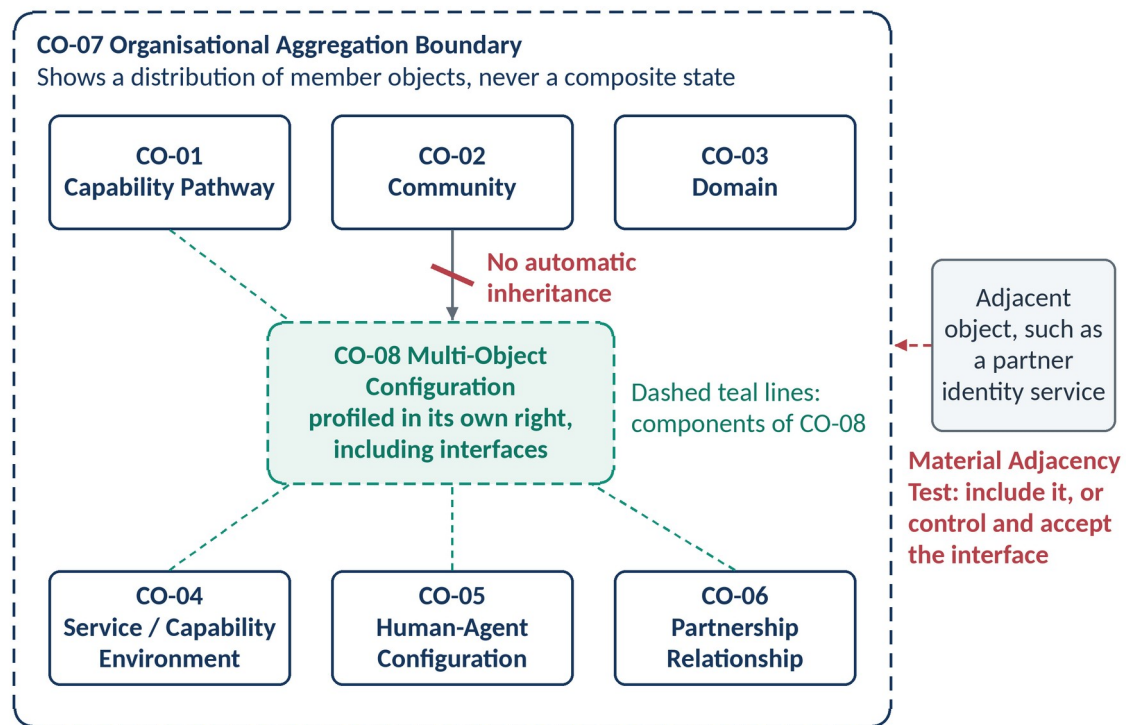
WP06.9 traceability is a specialisation of the WP06.3 lineage model. Requirements, controls and Acceptance Records are canonical entities with versioned relationships. WP06.10 (planned) will determine how they are implemented; WP06.9 requires only that the relationships are queryable in both directions and are preserved across versions.

WHAT EXACTLY IS BEING ASSESSED

12. Compliance Objects and Boundaries

Compliance is always asserted about something. A Compliance Object is a declared, bounded thing whose compliance position can be meaningfully stated and challenged. WP06.9 recognises eight object classes (VA-04). Organisations are deliberately not a class: an organisation's position is visible only through the objects it declares within an Organisational Aggregation Boundary.

Compliance Object Model



Organisations are not Compliance Objects. Compliance of a component is evidence for, never proof of, the compliance of what contains it.

WP06.9 | VA-04 | v1.0 FINAL

Figure 4. VA-04 Compliance Object Model. Six object classes within an aggregation boundary, a configuration profiled in its own right, and the adjacency and no-inheritance rules.

CO	Class	Definition	Typical families
CO-01	Capability Pathway	A structured route through which capability is formed, evidenced and entrusted	FR-01, FR-03, FR-04, FR-13
CO-02	Community	A self-identifying collective with declared stewardship	FR-06, FR-07, FR-08
CO-03	Domain	A governed capability Domain within the Mesh (WP06.7)	FR-08, FR-12
CO-04	Service / Capability Environment	A service, platform or environment through which participants act	FR-02, FR-09, FR-13
CO-05	Human-Agent Configuration	A defined combination of humans, agents, delegated authority and oversight	FR-03, FR-05, FR-09, FR-16
CO-06	Partnership Relationship	A governed relationship of exchange with a partner or supplier	FR-06, FR-11
CO-07	Organisational Aggregation Boundary	A declared boundary grouping objects for governance visibility	FR-10, FR-14
CO-08	Multi-Object Configuration	A composition of objects that together deliver an outcome	All applicable, plus interfaces

12.1 Object declaration

Declaration element	Required statement
Identity and class	Object identifier, CO class and boundary version
Purpose and beneficiaries	The legitimate need served and who benefits
Journeys served	Which of the nine journeys the object participates in
Boundary	What is inside, what is outside and the material interfaces
Adjacent objects	Objects passing the Material Adjacency Test and how each is treated
Requirement set	Applicable requirements with strength and applicability decisions
Accountable Party	Named human authority
Affected parties	Who may be affected, including those outside the boundary
Renewal triggers	Time, change, learning and accumulation triggers

12.2 Material Adjacency Test

RETAINED CONSTRUCT · MATERIAL ADJACENCY TEST

An object outside the declared boundary is materially adjacent if, through its normal operation or its failure, it can materially change whether an in-scope requirement is satisfied or whether an affected party is harmed. A materially adjacent object shall be brought within the boundary, or its interface shall be controlled and accepted as part of the declared object.

The test prevents the most common boundary manipulation: drawing the boundary around what works and leaving what fails outside it. It is applied at declaration and at every renewal. Typical adjacent objects are shared identity services, upstream evidence sources, agents supplied by partners and Domains on which a pathway depends.

12.3 No automatic inheritance

The compliance of a component is evidence for, and never proof of, the compliance of anything that contains, uses or depends on it. A Community hosted on a Conformant Service is not thereby Conformant; a Multi-Object Configuration composed of accepted objects is not thereby accepted. Composition creates new interactions, new affected parties and new failure paths, so CO-07 and CO-08 are profiled in their own right.

Situation	Inheritance claim rejected	Required treatment
Component within a configuration	Every part is accepted, so the whole is accepted	Accept the configuration's own interface and end-to-end requirements
Service hosting a Community	The platform is compliant, so the Community is	Profile the Community against FR-06 to FR-08
Supplier certificate	The supplier is certified	Cite as evidence in CO-06 acceptance; apply the Material Adjacency Test
Agent vendor attestation	The model provider assures the agent	Accept the Human-Agent Configuration in its context of use
Aggregation boundary	Most objects are Conformant, so the organisation is	Show the distribution; accept aggregation-level requirements only

12.4 Organisational Aggregation Boundaries

CO-07 exists because governing authorities legitimately need an organisation-level view. That view is a distribution, not a score: it shows which declared objects hold which profile states, which exceptions have accumulated and which renewals are lapsing. Requirements that genuinely operate at aggregation level, such as FR-14 authorisation routes and exception accumulation and FR-10 transition governance, are accepted at CO-07. Nothing else is.

12.5 Multi-Object Configurations

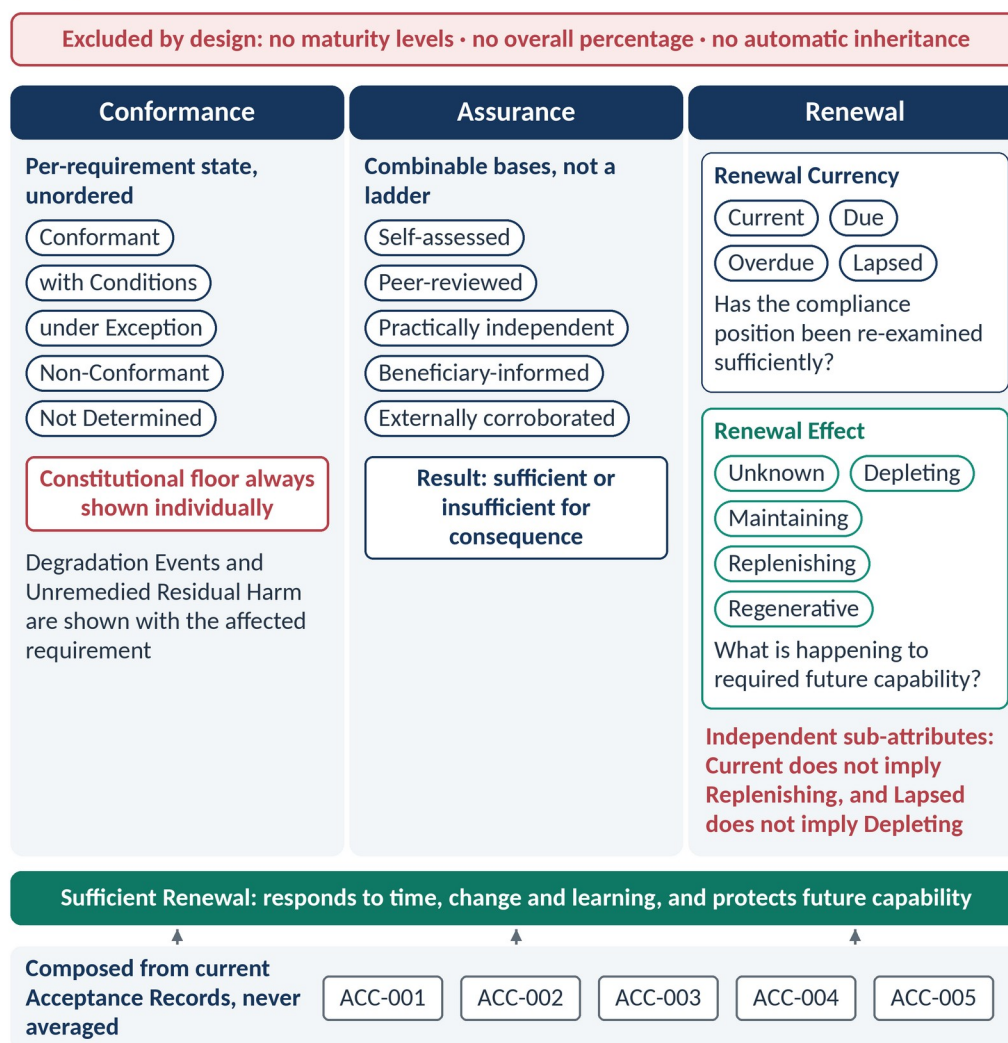
CO-08 is used when an outcome depends on several objects acting together, for example a Capability Pathway delivered through a partner's service using a Human-Agent Configuration inside a governed Domain. The configuration's requirement set includes the interface requirements between its components, the Constitutional requirements for the end-to-end experience of affected parties and the allocation of remedy under Shared Causation and Distributed Remedy.

STATING THE POSITION HONESTLY

13. Compliance Profiles

The Compliance Profile states the position of one Compliance Object against its declared requirement set. It has three dimensions (VA-05), reported side by side and never combined: Conformance, Assurance and Renewal. Renewal is itself reported as two explicitly labelled sub-attributes, Renewal Currency and Renewal Effect, which are also never combined. There are no maturity levels and there is no overall percentage. A profile is a composition of current Acceptance Records, and every statement in it can be traced to them.

Compliance Profile Model



WP06.9 | VA-05 | v1.0 FINAL

Figure 5. VA-05 Compliance Profile Model. Conformance, Assurance and Renewal side by side, with Renewal split into independent Renewal Currency and Renewal Effect sub-attributes.

Dimension	Question	Expressed as	Never expressed as
Conformance	Are the declared requirements satisfied by controls in design and operation?	Per-requirement state with conditions, exceptions, degradation and residual harm	A percentage of requirements met
Assurance	How well founded is the conformance position?	Evidence bases, independence and sufficiency for consequence	An assurance level or grade
Renewal	Is the position current, and is the future capability the object needs being depleted, maintained, replenished or regenerated?	Two labelled sub-attributes side by side: Renewal Currency (Current, Due, Overdue, Lapsed) and Renewal Effect (Unknown,	A review date alone, a single renewal grade or a maturity ladder

Dimension	Question	Expressed as	Never expressed as
		Depleting, Maintaining, Replenishing, Regenerative), with a Sufficient Renewal judgement	

13.1 Conformance

Conformance is stated per requirement and then summarised by requirement strength, with every Constitutional requirement always shown individually. The states available are Conformant, Conformant with Conditions, Conformant under Exception, Non-Conformant and Not Determined. An object with any Non-Conformant Constitutional requirement is shown as Non-Conformant at its constitutional floor, whatever its position on other requirements. Degradation Events and Unremedied Residual Harm are shown alongside the affected requirement.

13.2 Assurance

Assurance describes the basis on which conformance is believed: the type and adequacy of evidence, the independence of the acceptance authority and the extent to which the evidence addresses less-visible outcomes. Assurance is judged sufficient or insufficient for the consequence of the object; it is not ranked. A low-consequence Community with a peer-reviewed self-assessment may have sufficient assurance; a high-consequence Human-Agent Configuration supported only by vendor attestation does not.

Assurance basis	Description	Typically sufficient when
Self-assessed	The Accountable Party's own assessment, with evidence	Low consequence, Contextual requirements, peer challenge available
Peer-reviewed	Reviewed by a competent peer outside the operating team	Moderate consequence, Core requirements
Practically independent	Accepted by an authority meeting the Practical Independence profile	Constitutional requirements and high-consequence objects
Beneficiary-informed	Includes structured input from Requirement Beneficiaries	Constitutional requirements affecting individuals or Communities
Externally corroborated	Supported by external audit, certification or regulator evidence	Where external regimes apply; never sufficient alone

These bases are combinable descriptors, not a ladder. A profile states which bases apply and whether, together, they are sufficient for the object's consequence. WP06.11 owns the methods by which each basis is established, and its confidence statements (Exploratory to Renewal assured) are cited alongside the bases to state how strongly the evidence supports the claim; neither is converted to a score.

13.3 Practical Independence profile

RETAINED CONSTRUCT · PRACTICAL INDEPENDENCE PROFILE

Independence is assessed by how the acceptance authority is situated in practice: reporting line, economic dependence, relationship history, information access, incentive exposure and freedom to report adverse findings. Formal independence that fails any of these in practice is recorded as a limitation, not assumed away.

Factor	Question	Limitation example
Reporting line	Does the authority report to the object's Accountable Party?	Acceptor line-managed by the service owner
Economic dependence	Does the authority depend on the assured party for income or future work?	Assurance fees form a large share of the provider's revenue
Relationship	Is there a close working or personal relationship with those assured?	Acceptor co-designed the control
Information	Does the authority have unfiltered access to evidence and affected parties?	Evidence curated by the operating team
Incentive	Does the authority benefit from a favourable outcome?	Reward linked to programme success
Voice	Can the authority report adverse findings without penalty?	History of adverse findings being softened or withdrawn

13.4 Renewal Currency, Renewal Effect and Sufficient Renewal

RETAINED CONSTRUCT · SUFFICIENT RENEWAL

Renewal is sufficient when the compliance position has been re-examined in response to elapsed time, material change and new learning, each proportionate to consequence (Renewal Currency), and when that re-examination has assessed and acted on what is happening to the future capability the object's legitimate purpose requires (Renewal Effect). Renewal performed on schedule but blind to change or learning is not sufficient; renewal that keeps the position current while future capability is being depleted without response is not sufficient either.

Trigger	Examples	Minimum response
Time	Declared review interval has elapsed	Renewal acceptance of Constitutional and Core requirements
Material change	New agent model, new partner, changed boundary, changed requirement or control	Re-acceptance of affected requirements and a repeat Material Adjacency Test
Learning	Incident learning, challenge outcome, Observatory signal (WP06.4)	Review of implicated requirements, controls and criteria
Accumulation	Exception or degradation thresholds reached	Architecture review of the object

Renewal Currency shows one of four statuses, Current, Due, Overdue or Lapsed, with the trigger that set it and a statement on whether the renewal performed was sufficient. A Lapsed Renewal Currency suspends any statement of Conformance for the affected requirements until renewal acceptance is recorded. Renewal Effect, the second sub-attribute of Renewal, describes what is happening to the future capability reasonably required by the object's legitimate purpose, criticality and horizon.

Renewal Effect is assessed at every renewal acceptance and recorded in the Acceptance Register beside Renewal Currency. It takes one of five states.

Renewal Effect	Meaning	Typical evidence
Unknown	The effect on future capability has not yet been assessed or cannot yet be evidenced.	New object, first operating period, or no renewal evidence yet.
Depleting	Future capability the object needs is being consumed faster than it is formed, retained or succeeded.	Steward overload, unrecognised contribution, lost evidence, rising exceptions or unremedied harm.
Maintaining	Future capability is being sustained at the level the object's legitimate purpose requires.	Stable succession, retained evidence and steady entrustment.
Replenishing	Capability consumed by operation is being actively rebuilt or succeeded.	Successors formed, learning captured and stewardship resourced.
Regenerative	Operation is increasing the capability available to the object and its ecosystem beyond what it consumes.	Capability formed for others, reusable assets and strengthened Communities.

Renewal Effect describes direction, not attainment. Its states are not a maturity ladder, are never converted to a number and are judged against the future capability reasonably required by the object's legitimate purpose, criticality and horizon, not against an ideal. Renewal Currency and Renewal Effect are independent: a Current position may be Depleting, and a Lapsed position may still be Maintaining. Evidence of Renewal Effect draws on WP06.12 Value Ecology and Ecosystem Health constructs and on WP06.4 Observatory signals, with WP06.11 owning the methods; none of their measures is imported as a score.

13.5 Profile presentation rules

Rule	Statement
PR-01	Every profile names its object, boundary version, requirement set version and date.
PR-02	The three dimensions are presented together, with Renewal shown as two labelled sub-attributes, Renewal Currency and Renewal Effect; none may be quoted without the others.
PR-03	Constitutional requirements are always shown individually.
PR-04	Counts may be shown as management information but shall not be presented as a percentage or score of compliance, and Renewal Effect states shall never be converted to a number or rank.
PR-05	Conditions, exceptions, Degradation Events and Unremedied Residual Harm are shown in the profile, not footnoted.
PR-06	Profiles for CO-07 show the distribution across member objects and never a composite state.

Rule	Statement
PR-07	Profiles are available to Requirement Beneficiaries in accessible form, subject to WP06.2 privacy and security protections.

PROFILE TEST

A profile is honest when a reader could not reasonably conclude that the object is in a better position than its Acceptance Records support.

WHERE THE TRACE IS KEPT

14. Register Architecture

WP06.9 uses three registers (VA-06): the Requirement Register, the Control Register and the Acceptance Register. Three are sufficient because every compliance fact is either a requirement, a control or an acceptance decision. Exceptions, Degradation Events, contamination reviews and residual harm are recorded as typed entries within these registers, not as additional registers, so that they cannot drift out of the trace.

Register Relationship Model

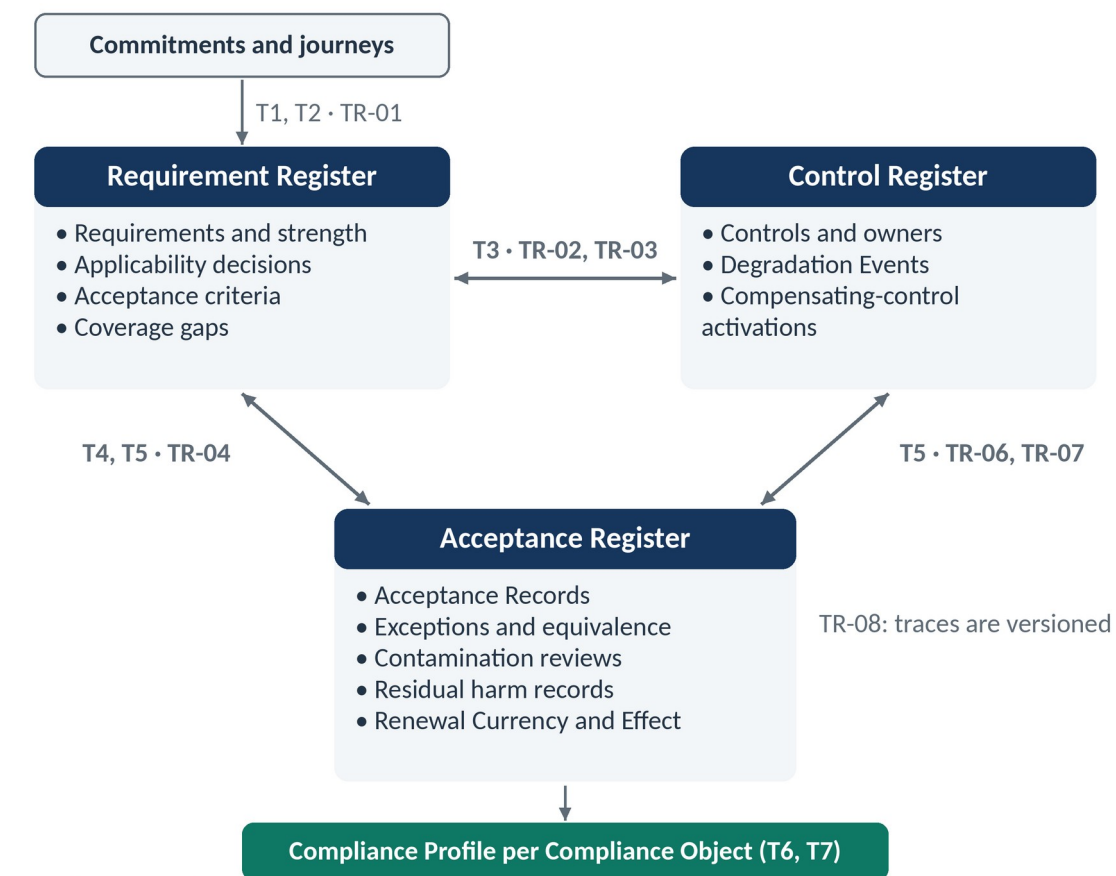


Figure 6. VA-06 Register Relationship Model. Three registers linked by bidirectional trace links and integrity rules, producing the Compliance Profile for each Compliance Object.

Register	Records	Primary owner	Key relationships
Requirement Register	Requirements, strength, source, subject, beneficiary, applicability decisions, acceptance criteria and coverage gaps	Requirements authority	To controls, criteria and objects
Control Register	Controls, specifications, owners, operating evidence, Degradation Events and compensating-control activations	Control owners	To requirements and Acceptance Records
Acceptance Register	Acceptance Records, exceptions, conditions, contamination reviews, residual harm and renewals	Acceptance authorities	To requirements, controls, objects and profiles

14.1 Requirement Register fields

Field	Content
REQ-ID and version	Unique identifier and version history
Family and anchor	FR family and the anchor requirement parameterised, if any
Statement	Standard-form requirement statement (Section 8.1)
Subject, Beneficiary, Accountable role	The three requirement roles (Section 5)
Strength	Constitutional, Core or Contextual
Source commitment	Source paper and section, or imported external regime
Journeys and arcs	Journeys and cross-cutting arcs in which the requirement applies
Applicable objects	Object classes and declared objects, with applicability decisions and reasons
Acceptance criteria	Criteria including visibility-bias and supported-participation questions
Linked controls	CTL-IDs (trace link T3)
Status	Draft, active, under challenge, superseded or retired
Renewal trigger	Time, change and learning triggers

14.2 Control Register fields

Field	Content
CTL-ID and version	Unique identifier and version history
Control Domain	CD-01 to CD-09
Objective and requirements served	Requirement effect secured and REQ-IDs (mandatory)
Type and nature	Control type and human, procedural, technical, agentic or hybrid nature
Owner and operator	Named human owner; human or agent operator
Operating evidence	Evidence produced on each operation
Frequency or trigger	Continuous, periodic or event-triggered
Design rationale	Why the control should work as designed
Degradation triggers and events	Declared triggers and a log of Degradation Events
Compensating control	Declared fallback and its activation log

Field	Content
Renewal trigger	Time, change and learning triggers

14.3 Acceptance Register fields

Field	Content
ACC-ID	Unique identifier
Object and boundary version	Compliance Object accepted
Requirements and controls	REQ-IDs and CTL-IDs with versions (trace link T5)
Event and state	Acceptance event and decision state
Evidence and known gaps	Evidence relied on and the answer to the visibility-bias question
Authority and independence	Acceptance authority, assurance bases and Practical Independence limitations
Beneficiary input	How Requirement Beneficiaries informed the decision (mandatory for Constitutional requirements)
Conditions, exceptions, equivalence	Terms, compensating controls, due dates and expiry
Dissent	Recorded disagreement, including from the assured party
Linked records	Contamination reviews, residual harm records, prior and successor Acceptance Records
Renewal	Trigger, Renewal Currency status and Renewal Effect assessment
Challenge route	How the decision can be challenged under FR-15

14.4 Typed entries and register integrity

Entry type	Register	Purpose
Coverage gap	Requirement	Commitment with no requirement, or requirement with no control
Applicability decision	Requirement	Reasoned inclusion or exclusion of a Contextual requirement
Degradation Event	Control	Control operating below designed effectiveness
Compensating control activation	Control	Fallback operating in place of the primary control
Exception	Acceptance	Approved departure with compensation and expiry
Equivalence	Acceptance	Requirement met by different means with equivalent effect
Contamination review	Acceptance	Review of decisions that relied on a flawed item
Residual harm record	Acceptance	Harm remaining after remedy
Renewal acceptance	Acceptance	Re-acceptance after a trigger, recording Renewal Currency and Renewal Effect

The registers are jointly subject to the traceability integrity rules in Section 11.2. Integrity is checked continuously where tooling permits and at every renewal otherwise. Integrity defects are recorded as Degradation Events against CD-08 register-integrity controls.

ENOUGH, AND NO LESS

15. Proportionality and Minimum Sufficient Compliance

Compliance that is too heavy excludes small Communities, early experiments and under-resourced participants, and rewards organisations that can afford documentation. Compliance that is too light fails the people it exists to protect. WP06.9 resolves this tension through Minimum Sufficient Compliance.

RETAINED CONSTRUCT · MINIMUM SUFFICIENT COMPLIANCE

Each Compliance Object shall carry the smallest requirement set, control set and assurance basis sufficient for the consequence of its operation and the vulnerability of those affected, above a constitutional floor that does not scale down.

15.1 Proportionality factors

Factor	Raises rigour when	Lowers rigour when
Consequence	Decisions affect income, opportunity, safety or rights	Effects are minor and easily reversed
Vulnerability	Affected parties have limited power, voice or alternatives	Affected parties are well resourced with real alternatives
Scale	Many people or objects are affected	Few, known participants
Automation	Agents act with delegated authority	Humans decide, with agent support only
Reversibility	Effects are hard to reverse	Effects can be undone quickly and fully
Novelty	New pathway, partner, Domain or model	Established, stable operation with history
Boundary crossing	Multiple organisations or Domains are involved	A single, well-understood boundary

15.2 The constitutional floor

The constitutional floor comprises every requirement classed as Constitutional. It applies to every Compliance Object regardless of size, resource or stage, and it cannot be excepted. It may be met through equivalent means proportionate to the object (Section 16.2), but its protective effect cannot be reduced. The floor exists so that proportionality protects small initiatives without making their participants less protected.

Floor element	Minimum for the smallest object
Supported participation (FR-02.03)	A supported route for every obligation placed on an individual
Voluntariness (FR-06.03)	Declining to contribute carries no disproportionate penalty
Portability, pause, exit, accessibility (FR-13)	Participants can stop, leave, return and take their evidence with them
Authorisation (FR-14.01)	A named person authorises consequential decisions
Exception control (FR-14.03)	Exceptions are written down, approved by someone else and time-limited
Challenge (FR-15.01)	A known route, outside the decision-maker, to which

Floor element	Minimum for the smallest object
	concerns can be raised
Correction and remedy (FR-15.02 to FR-15.04)	A commitment to correct, remedy first and record what could not be remedied
Containment (FR-16.01)	Authority to pause harmful activity, with thought given to who is affected by pausing

15.3 Proportionality decisions

Proportionality decisions are made at object declaration, recorded in the Requirement Register as applicability decisions with reasons, and accepted as part of design acceptance. They are revisited at every renewal trigger. A proportionality decision that reduces protection for affected parties is itself challengeable under FR-15.

PROPORTIONALITY TEST

If proportionality consistently lowers rigour where affected parties are least able to object, it has become a mechanism of exclusion and must be reviewed.

DEPARTING WITHOUT DISAPPEARING

16. Exceptions, Equivalence and Compensating Controls

No requirement set fits every situation. WP06.9 allows three forms of departure, each visible and traceable: an exception, where a requirement is not met for a bounded period; equivalence, where a requirement is met by different means; and a compensating control, where a different control secures the requirement's effect when the primary control cannot.

Form	Meaning	Allowed for	Record
Exception	Requirement not met; risk accepted for a bounded period	Core and Contextual requirements only	Acceptance Register: Accepted under Exception
Equivalence	Requirement met by different means with equivalent effect	All strengths, including Constitutional	Acceptance Register with equivalence rationale
Compensating control	An alternate control secures the effect when the primary cannot	All strengths	Control Register activation linked to the Acceptance Record

16.1 Exception conditions

An exception shall satisfy every one of the following conditions. An exception that fails any of them is recorded as Not Accepted.

- It identifies the requirement, the object and the affected parties.
- It states the reason and why equivalence is not available.
- It names the compensating control and how its operation will be evidenced.
- It is approved by an authority other than the requester.
- It expires no later than the object's next renewal trigger.

- It is visible in the Compliance Profile and counts towards accumulation.

16.2 Equivalence

Equivalence recognises that the same protective effect can be achieved differently in different contexts. A small Community may meet FR-15.01 through a named independent member rather than a formal challenge service, or meet FR-06.03 through that member hearing concerns in place of an anonymous survey. Equivalence is accepted on evidence of effect, not similarity of form, and for Constitutional requirements the Requirement Beneficiary's perspective shall be sought.

16.3 Exception Accumulation Control

RETAINED CONSTRUCT · EXCEPTION ACCUMULATION CONTROL

Exceptions shall be reviewed cumulatively as well as individually. When exceptions for an object, a requirement or an Accountable Party accumulate beyond a declared threshold in number, duration, renewal or combined effect, the object shall be referred for architecture review and shall not be presented as Conformant under Exception until the review concludes.

Individually reasonable exceptions can together hollow out a requirement set. Accumulation is observed along four axes. The last matters most and is the hardest to see, which is why the control sits in CD-08 with reporting to the governing authority.

Accumulation axis	Signal	Response
Object concentration	Many concurrent exceptions on one object	Architecture review of the object
Renewal persistence	The same exception renewed repeatedly	Treat as permanent: redesign, or record Non-Conformant
Requirement pattern	The same requirement excepted across many objects	Review the requirement itself for defect
Affected-party concentration	The same people exposed to several exceptions	Beneficiary-informed review and consideration of remedy

16.4 Compensating controls

A compensating control shall address the same requirement effect as the control it replaces, be pre-declared wherever the risk is foreseeable, operate observably and be accepted within the Acceptance Record that relies on it. Compensating controls are not a route to permanently lower rigour: a compensating control that remains in place across two renewal cycles shall be reviewed as though it were the primary control.

WHEN COMPLIANCE FAILS

17. Failure, Remedy and Recovery

Compliance fails in two ways: a requirement is not met, or the compliance system misrepresents whether it is met. Both harm affected parties, and the second also damages the

trust on which the rest of the architecture depends. WP06.9 treats compliance failure as a J15 incident and remedy as a J14 obligation, and it refuses to close either while harm remains.

17.1 Compliance failure modes

Failure mode	Description	Primary safeguard
Evidence Visibility Bias	Easily observed evidence dominates judgement	FR-04.02; CD-03 sampling; acceptance question
Paper Compliance	Controls exist in documents but do not operate	Operational acceptance; Degradation Events
Boundary Gaming	Objects are scoped to exclude what fails	Material Adjacency Test
Inherited Credibility	The compliance of components is claimed for wholes	No automatic inheritance
Exception Drift	Exceptions become permanent practice	Exception Accumulation Control
Silent Degradation	Controls weaken without failing	Degradation Events
Stale Acceptance	Acceptance is relied on after change	TR-08; Sufficient Renewal
Contaminated Decisions	Decisions rely on flawed evidence, controls or agents	Decision Contamination Review
Harmful Containment	Containment harms those it should protect	Containment Consequence Assessment
Closure Without Remedy	Incidents are closed while harm persists	Unremedied Residual Harm
Remedy Deferral	Remedy is delayed pending allocation of blame	Shared Causation and Distributed Remedy
Assurance Capture	Assurance is shaped by those assured or by the assurance market	Practical Independence; Assurance Market Capture safeguards
Compliance Burden Exclusion	Compliance cost excludes small or under-resourced participants	Minimum Sufficient Compliance; equivalence

17.2 Containment Consequence Assessment

RETAINED CONSTRUCT · CONTAINMENT CONSEQUENCE ASSESSMENT

Containment actions such as suspending access, pausing an agent, freezing a Community or withdrawing entrustment shall be assessed for their consequences on affected parties before they are taken or, where urgency prevents this, immediately afterwards. Containment that shifts harm onto those least able to bear it is itself a failure.

Containment is necessary and often urgent, but it is never neutral. Suspending a service protects some participants while cutting others off from income, evidence or support. The assessment identifies who is affected by containing, what support they need, how long containment should last and what would justify lifting it. It is recorded in the Acceptance Register as part of the Recovery acceptance event.

17.3 Remedy and distributed remedy

Remedy restores affected parties, as far as possible, to the position they would have held had the failure not occurred, or provides fair redress where restoration is impossible. Remedy is owed by the Accountable Party and cannot be made conditional on the affected party accepting the compliance system's account of events.

RETAINED CONSTRUCT · SHARED CAUSATION AND DISTRIBUTED REMEDY

Where more than one party contributed to a failure, remedy to affected parties shall not wait for causation to be allocated between them. A designated party shall provide remedy first, and contributors shall settle allocation afterwards under their agreements.

Shared causation is the normal case in Multi-Object Configurations and Partnership Relationships. FR-11.01 requires agreements to pre-allocate remedy obligations and to designate a remedy provider. Where they do not, the Accountable Party for the CO-08 configuration or the CO-06 relationship acts as designated remedy provider by default.

17.4 Unremedied Residual Harm

RETAINED CONSTRUCT · UNREMEDIED RESIDUAL HARM

Harm that remains after remedy has been attempted shall be recorded, acknowledged to those who carry it and reviewed at each renewal. It shall not be closed as resolved, averaged away or excluded from the Compliance Profile.

Some harm cannot be undone: a lost opportunity, a damaged reputation, time that cannot be returned. Recording it matters because the alternative, closing the incident as resolved, erases the experience of the people who bear it and removes the pressure to prevent recurrence. Residual harm records appear in the Conformance dimension of the profile under PR-05.

17.5 Recovery and learning

Recovery is accepted only when controls are restored, contaminated decisions have been reviewed, affected parties have been remedied or their residual harm recorded, and learning has been assessed for its implications for requirements, controls and acceptance criteria. Learning that changes nothing is recorded as such, with reasons; learning that is never assessed is a Renewal failure.

Recovery step	Acceptance evidence
Contain	Containment Consequence Assessment recorded
Restore controls	Operational re-acceptance of the affected controls
Review contamination	Decision Contamination Review completed and corrections made
Remedy	Remedy provided; any residual harm recorded
Learn	Changes to requirements, controls or criteria, or a reasoned no-

Recovery step	Acceptance evidence
	change
Renew	Renewal acceptance of affected Acceptance Records

GOVERNING THE COMPLIANCE SYSTEM ITSELF

18. Anti-Capture Safeguards

A compliance architecture concentrates power: to define what counts, to judge whether it has been met and to publish the result. That power can be captured by those it is meant to constrain, by those who sell assurance, or by those who administer compliance for its own sake. WP06.9 therefore applies its own requirements to itself.

18.1 Forms of capture

Capture form	How it occurs	Safeguard
Assured-party capture	Those assured influence the acceptor's findings	Practical Independence profile; beneficiary input
Assurance Market Capture	Assurance becomes a product optimised for repeat purchase	AMC-01 to AMC-08
Definition capture	Powerful actors shape requirements to fit current practice	Derivation from commitments; open challenge to requirements
Metric capture	Profiles are optimised rather than the outcomes they describe	No percentage; plural dimensions; periodic retirement of criteria
Bureaucratic capture	Compliance activity grows for its own sake	Minimum Sufficient Compliance; orphan-control rule (TR-03)
Agentic capture	Agents operate, evidence and in effect accept their own controls	Human control owner; agent logs are evidence, not acceptance

18.2 Assurance Market Capture safeguards

Safeguard	Requirement
AMC-01 Separation of assurance and delivery	A provider shall not accept an object it designed, built or operates, or advise on remediation it will later accept.
AMC-02 Economic dependence disclosure	Providers disclose the share of their income derived from the assured party; material dependence is recorded as a Practical Independence limitation.
AMC-03 Rotation	Acceptance authority for Constitutional requirements rotates at declared intervals.
AMC-04 Findings integrity	Adverse findings cannot be removed by the assured party; disagreement is recorded as dissent.
AMC-05 No outcome-contingent fees	Assurance fees shall not depend on a favourable result.
AMC-06 Method openness	Acceptance criteria and methods are available to Requirement Beneficiaries, subject to WP06.2.
AMC-07 Beneficiary route	Beneficiaries may challenge an acceptance decision directly under FR-15.
AMC-08 Market review	The governing authority periodically reviews concentration, pricing and independence across assurance providers.

18.3 Compliance of the compliance system

The WP06.9 machinery is itself declared as a Service / Capability Environment (CO-04) and profiled against FR-02, FR-04, FR-13, FR-14 and FR-15. Its accessibility, its challenge routes and its independence are therefore subject to the same Conformance, Assurance and Renewal discipline that it imposes on everything else.

CAPTURE TEST

If those who are assured, those who assure and those who administer compliance would all prefer the current arrangement to a more honest one, the arrangement is probably captured.

ONE ARCHITECTURE, MANY OWNERS

19. Cross-Paper Integration

WP06.9 depends on every other paper in the series for the commitments it turns into requirements, and every other paper depends on WP06.9 to make its commitments testable. The boundary map states what WP06.9 takes from each paper and what it returns.

Paper	WP06.9 takes	WP06.9 returns
WP06.0	Public FCO proposition and ecosystem promise	Traceability from public claims to requirements and profiles
WP06.1	Platform services for evidence, identity and opportunity	CO-04 requirements for platform services and control hooks
WP06.2	Rights, authority, privacy, challenge, remedy and non-extraction principles	Constitutional requirements (FR-13 to FR-16) and acceptance of their operation
WP06.3	Canonical semantics, entities, relationships and lineage	Requirement, control and acceptance entities as lineage specialisations
WP06.4	Observatory signals, patterns and interpretation	Learning triggers for renewal; profile distributions for observation
WP06.5	Human Value, lived journeys, Agency and reciprocity	FR-01 to FR-07 requirements and the Supported Participation Principle
WP06.6	Transition, propagation, entrustment and successor formation	FR-03, FR-08 and FR-10 requirements and entrustment controls
WP06.7	Domain Mesh, activation, contextual value and lifecycle	FR-12 requirements, CO-03 profiles and interface adjacency rules
WP06.8	Operating decisions, roles, rhythms, Capacity and Human-Agent operation	Control ownership model, CO-05 profiles and acceptance-authority placement
WP06.10 (planned)	Implementation constraints	Register fields, trace queries and integrity rules to implement
WP06.11	Evidence methods, assurance methods and Capability Health	Assurance bases that record who accepted the evidence, cited alongside WP06.11 v1.0 confidence statements; criteria that reference WP06.11 methods

Paper	WP06.9 takes	WP06.9 returns
WP06.12	Value Ecology, Conversion Capacity, participant exchange and commercial models	FR-06, FR-09 and FR-11 requirements; Assurance Market Capture safeguards

19.1 Ownership boundaries

Boundary	Resolution
Assurance: WP06.9 and WP06.11	WP06.11 owns how evidence is gathered and assessed and how strongly it supports a claim (its confidence statements); WP06.9 owns what must be accepted, by whom, with what independence, and how the result is stated.
Rights: WP06.2 and WP06.9	WP06.2 owns the rights; WP06.9 owns the requirements, controls and acceptance that make them operative.
Operating decisions: WP06.8 and WP06.9	WP06.8 owns who decides and operates; WP06.9 owns the separation and independence rules those arrangements must satisfy.
Journeys: WP06.5 and WP06.9	WP06.5 owns the lived journey experience; WP06.9 owns the canonical stack as a source of obligations.
Domain lifecycle: WP06.7 and WP06.9	WP06.7 owns lifecycle design; WP06.9 owns lifecycle requirements and their acceptance.

19.2 Integration actions

Action	Paper	Change required
IA-01	WP06.12	Add WP06.9 to the WP06.12 v1.0 FINAL frozen cross-paper boundary map at its next revision. Verified during the production pass: the v1.0 FINAL map in Section 16 lists WP06.0 to WP06.8, WP06.11 and WP06.12 but omits WP06.9 (and planned WP06.10).
IA-02	WP06.11	Align WP06.11 v1.0 so that the five WP06.9 assurance-basis descriptors are recorded alongside its Section 13 confidence statements (Exploratory, Plausible, Contextually supported, Operationally assured, Renewal assured) without creating a second vocabulary for either.
IA-03	WP06.8	Confirm placement of control-owner and acceptance-authority roles in the operating model.
IA-04	WP06.3	Register requirements, controls and Acceptance Records as canonical entities with versioned relationships.
IA-05	WP06.10	Adopt the Section 14 register fields and Section 11.2 integrity rules as implementation requirements.
IA-06	WP06.2	Confirm the constitutional floor composition (Section 15.2) against the rights catalogue.
IA-07	WP06.2	Define profile disclosure tiers above the WP06.9 minimum set by AR-04 (floor states, residual harm and challenge route always disclosed to beneficiaries).

HOW THE ARCHITECTURE BECOMES CHALLENGEABLE

20. Validation, Falsification and Future Research

WP06.9 was stress-tested before this version. Sixteen constructs were retained as a result. Each is integrated at its point of use and indexed below so that its placement can be verified.

20.1 Stress-test outcome index

#	Retained construct	Function	Location
1	Supported Participation Principle	Individual obligations must be satisfiable with support	5.2; FR-02.03
2	Evidence Visibility Bias (failure mode)	Guards against over-crediting what is visible	8.8; FR-04.02
3	Practical Voluntariness Test	Voluntary only if declining carries no disproportionate penalty	7.2; FR-06.03
4	Contextual Exit Rule	Exit always available; terms bounded by context	7.3; FR-13, FR-11.03
5	Separation of Opportunity Functions	Definition, allocation and evaluation separated	9.4; FR-05.01
6	Practical Independence profile	Independence assessed in practice, not form	13.3; FR-14.02
7	Material Adjacency Test	Adjacent objects included or interfaces controlled	12.2; FR-12.02
8	Exception Accumulation Control	Exceptions reviewed cumulatively on four axes	16.3; FR-14.03
9	Degradation Events	Sub-failure weakening recorded and acted on	9.5; FR-16.04
10	Decision Contamination Review	Reliant decisions reviewed after a flaw is found	11.3; FR-15.02
11	Containment Consequence Assessment	Effects of containment assessed	17.2; FR-16.01
12	Unremedied Residual Harm	Residual harm recorded, never closed	17.4; FR-15.04
13	Shared Causation and Distributed Remedy	Remedy before allocation of causation	17.3; FR-15.03, FR-11.01
14	Minimum Sufficient Compliance	Proportionality above a constitutional floor	15; 15.2
15	Sufficient Renewal	Renewal responsive to time, change and learning that also protects future capability (Renewal Currency and Renewal Effect)	13.4; FR-10.03
16	Assurance Market Capture safeguards	Assurance protected from commercial capture	18.2

20.2 Validation approach

Validation proceeds in three stages. Walkthrough validation traces the representative register entries in Appendix B end to end and confirms that every integrity rule holds (Appendix C). Pilot validation applies the architecture to a small set of declared objects across different classes, including at least one Community, one Human-Agent Configuration and one Multi-Object Configuration. Challenge validation invites Requirement Beneficiaries and independent reviewers to find compliance claims that cannot be traced or challenged.

20.3 Hypotheses and falsification

Hypothesis	What would weaken or falsify it
Three registers are sufficient for complete traceability.	Recurring compliance facts cannot be recorded without a fourth register or untraceable side records.
Three profile dimensions communicate position better than a score.	Decision-makers consistently misread profiles or reconstruct a de facto score.
No automatic inheritance improves accuracy at acceptable cost.	Configuration profiling adds cost without revealing interface failures.
Minimum Sufficient Compliance protects small objects without weakening protection.	Participants in small objects experience worse challenge, exit or remedy outcomes.
Degradation Events give earlier warning than failure records.	Degradation records do not precede incidents, or are routinely ignored.
Separation of Opportunity Functions reduces concentration.	Allocation patterns remain concentrated after separation.
Practical Independence improves acceptance quality.	Adverse-finding rates and beneficiary challenge outcomes do not differ.
Assurance Market Capture safeguards are workable.	Safeguards shrink the assurance market to a captured few, or are routinely excepted.

FALSIFICATION DUTY

If a simpler compliance model protects affected parties as well, if the profile does not improve decisions, or if the architecture's burden excludes the participants it exists to protect, WP06.9 must be revised rather than defended.

20.4 Future research

- Measuring Evidence Visibility Bias in agent-mediated evidence pipelines.
- Accumulation thresholds that remain meaningful across object classes.
- Beneficiary-informed acceptance methods that do not burden affected parties.
- Profile presentation formats that resist reconstruction into a score.
- Distributed remedy in multi-party ecosystems without a central authority.
- Compliance for agent-to-agent interaction across organisational boundaries.

KEEPING PROMISES THAT CAN BE CHECKED

21. Architectural Conclusion

WP06.9 completes the WP06 series by making its commitments answerable. It takes the rights, journeys, semantics, operating decisions and value commitments defined elsewhere and expresses them as requirements that name their subjects and beneficiaries, controls that are owned and declare how they degrade, and acceptance decisions made by practically independent authorities on evidence that is honest about what it cannot see.

The architecture refuses the shortcuts that make conventional compliance easy and misleading: no maturity levels, no overall percentage, no inherited credibility, no invisible exceptions, no

closure while harm remains and no assurance bought from those who benefit from a favourable result. In their place it offers a Compliance Profile that states Conformance, Assurance and Renewal side by side for a declared object, supported by three registers that can be traced in both directions.

The paper does not claim that compliance makes an FCO good. It claims that an FCO which cannot show how its promises are kept, to whom they are owed and how they can be challenged is not yet entitled to make them.

CANONICAL CLOSING STATEMENT

A Frontier Capability Organisation keeps its commitments visibly: every promise traced to a requirement, every requirement secured by a control, every control accepted through separated judgement, and every position stated honestly, challengeable by those it affects and renewed as the organisation learns.

PRODUCTION ARTEFACTS

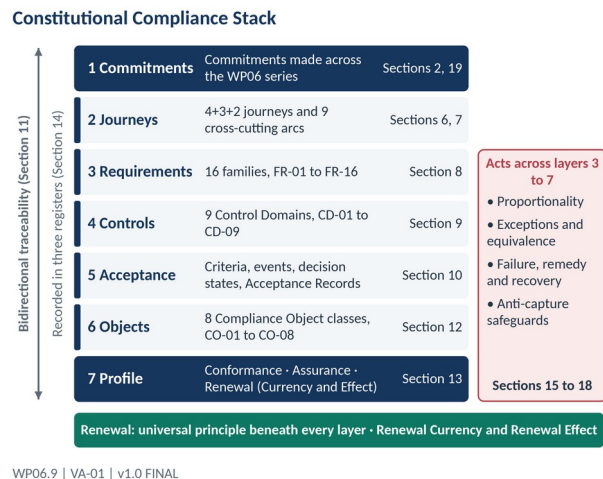
Appendix A. Visual Catalogue and Production Record

The six architecture visuals below are completed artefacts, inserted at their main-section placements as Figures 1 to 6. This appendix records each visual's purpose, placement, final alt text and source files. Detailed build specifications, including the common visual standard, layout, colour, typography and export rules, are maintained in the companion document WP06.9 Visual Production Specifications v1.0 under change control, so that the visuals can be revised without reopening this paper.

A.1 Catalogue summary

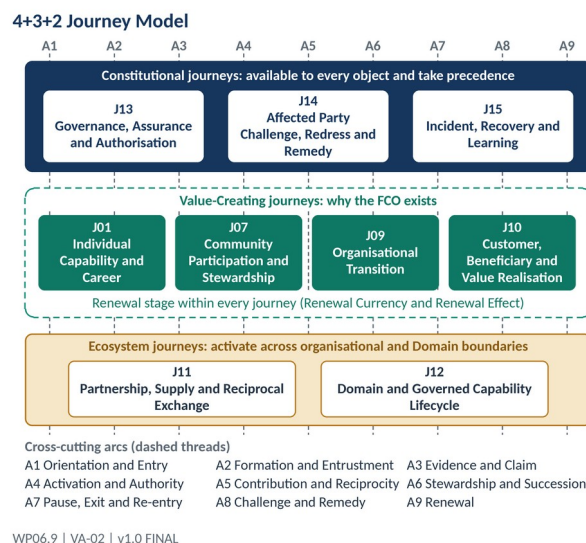
Visual	Title	Placement	Source files (PNG and SVG)
VA-01	Constitutional Compliance Stack	Section 3.2, Figure 1	WP06.9_VA-01_Constitutional_Compliance_Stack_v1.0
VA-02	4+3+2 Journey Model	Section 6, Figure 2	WP06.9_VA-02_Journey_Model_4-3-2_v1.0
VA-03	Functional Requirement Landscape	Section 8, Figure 3	WP06.9_VA-03_Functional_Requirement_Landscape_v1.0
VA-04	Compliance Object Model	Section 12, Figure 4	WP06.9_VA-04_Compliance_Object_Model_v1.0
VA-05	Compliance Profile Model	Section 13, Figure 5	WP06.9_VA-05_Compliance_Profile_Model_v1.0
VA-06	Register Relationship Model	Section 14, Figure 6	WP06.9_VA-06_Register_Relationship_Model_v1.0

A.2 VA-01 Constitutional Compliance Stack



Attribute	Record
Identifier	VA-01
Title	Constitutional Compliance Stack
Purpose	Show the seven-layer architecture from commitment to profile, with traceability, cross-cutting safeguards and Renewal as universal principle.
Placement	Section 3.2 (Figure 1)
Alt text	Seven-layer stack from Commitments at the top, through Journeys, Requirements, Controls, Acceptance and Objects, to the Compliance Profile at the bottom. A double-headed arrow on the left shows bidirectional traceability through all seven layers, recorded in three registers. A red-outlined panel on the right shows proportionality, exceptions, failure and remedy, and anti-capture safeguards acting across layers 3 to 7. A teal strip beneath every layer shows Renewal as the universal principle, reported as Renewal Currency and Renewal Effect.
Source filename	WP06.9_VA-01_Constitutional_Compliance_Stack_v1.0.png
Editable source	WP06.9_VA-01_Constitutional_Compliance_Stack_v1.0.svg (scalable vector, text labels editable)
Accessibility note	Diagram labels are live text in the SVG source and at least 10 pt at full column width. Colour is always paired with a text label, and white text on teal uses teal-dark #0F7865 to meet WCAG AA contrast.

A.3 VA-02 4+3+2 Journey Model



Attribute	Record
Identifier	VA-02
Title	4+3+2 Journey Model
Purpose	Show the nine canonical journeys in three classes, their precedence relationship, the nine cross-cutting arcs and Renewal as universal principle.
Placement	Section 6 (Figure 2)
Alt text	Journey model with three Constitutional journeys, J13, J14 and J15, forming a navy canopy that takes precedence over four Value-Creating journeys, J01, J07, J09 and J10, shown in teal and surrounded by a dashed renewal loop. These rest on an amber foundation of two Ecosystem journeys, J11 and J12. Nine dashed threads labelled A1 to A9 run vertically through all three tiers as cross-cutting arcs, named in a legend.
Source filename	WP06.9_VA-02_Journey_Model_4-3-2_v1.0.png
Editable source	WP06.9_VA-02_Journey_Model_4-3-2_v1.0.svg (scalable vector, text labels editable)
Accessibility note	Diagram labels are live text in the SVG source and at least 10 pt at full column width. Colour is always paired with a text label, and white text on teal uses teal-dark #0F7865 to meet WCAG AA contrast.

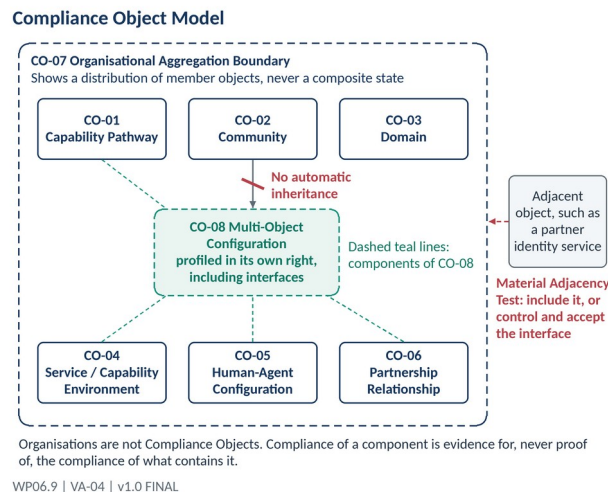
A.4 VA-03 Functional Requirement Landscape



WP06.9 | VA-03 | v1.0 FINAL

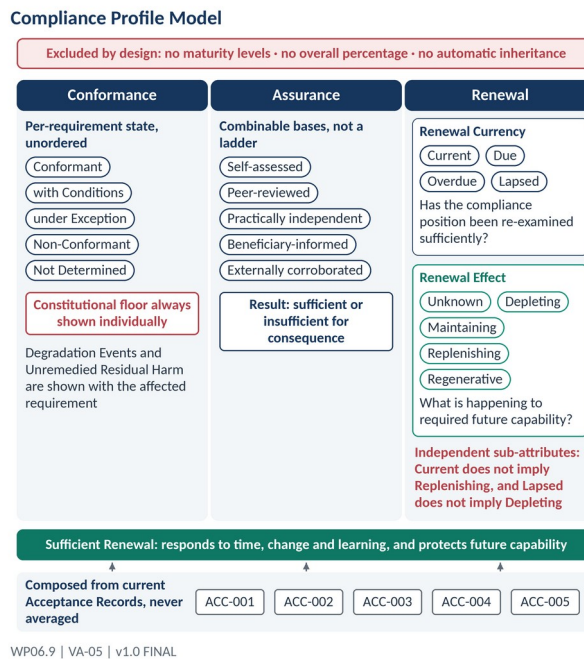
Attribute	Record
Identifier	VA-03
Title	Functional Requirement Landscape
Purpose	Show the sixteen requirement families by stack class, with principal Control Domain, principal journeys and constitutional floor markers.
Placement	Section 8 (Figure 3)
Alt text	Four by four grid of the sixteen Functional Requirement Families. FR-01 to FR-10 are Value-Creating families in teal, FR-11 and FR-12 are Ecosystem families in amber, and FR-13 to FR-16 are Constitutional families in navy. Each tile names its principal Control Domain and principal journeys. A red Floor badge marks the six families carrying constitutional floor requirements: FR-02, FR-06, FR-13, FR-14, FR-15 and FR-16.
Source filename	WP06.9_VA-03_Functional_Requirement_Landscape_v1.0.png
Editable source	WP06.9_VA-03_Functional_Requirement_Landscape_v1.0.svg (scalable vector, text labels editable)
Accessibility note	Diagram labels are live text in the SVG source and at least 10 pt at full column width. Colour is always paired with a text label, and white text on teal uses teal-dark #0F7865 to meet WCAG AA contrast.

A.5 VA-04 Compliance Object Model



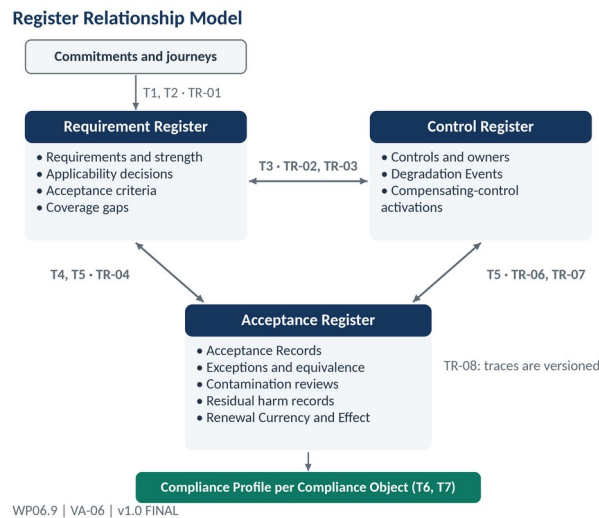
Attribute	Record
Identifier	VA-04
Title	Compliance Object Model
Purpose	Show the eight object classes, how they compose, and the boundary, adjacency and no-inheritance rules.
Placement	Section 12 (Figure 4)
Alt text	Compliance object model: six object classes, CO-01 to CO-06, arranged inside a dashed CO-07 Organisational Aggregation Boundary, with a CO-08 Multi-Object Configuration at the centre linked to the components it composes. A struck-through arrow shows that compliance is not automatically inherited. An adjacent object outside the boundary is linked by the Material Adjacency Test. A note states that organisations are not Compliance Objects.
Source filename	WP06.9_VA-04_Compliance_Object_Model_v1.0.png
Editable source	WP06.9_VA-04_Compliance_Object_Model_v1.0.svg (scalable vector, text labels editable)
Accessibility note	Diagram labels are live text in the SVG source and at least 10 pt at full column width. Colour is always paired with a text label, and white text on teal uses teal-dark #0F7865 to meet WCAG AA contrast.

A.6 VA-05 Compliance Profile Model



Attribute	Record
Identifier	VA-05
Title	Compliance Profile Model
Purpose	Show the three profile dimensions, the two Renewal sub-attributes, their composition from Acceptance Records and what the profile deliberately excludes.
Placement	Section 13 (Figure 5)
Alt text	Compliance Profile with three side-by-side dimensions: Conformance, with five unordered per-requirement states and the constitutional floor shown individually; Assurance, with five combinable assurance bases judged sufficient or insufficient for consequence; and Renewal, split into two labelled sub-attributes, Renewal Currency (Current, Due, Overdue, Lapsed) and Renewal Effect (Unknown, Depleting, Maintaining, Replenishing, Regenerative), which are independent of each other. A band defines Sufficient Renewal, and the profile is composed from current Acceptance Records. A panel states that there are no maturity levels, no overall percentage and no automatic inheritance.
Source filename	WP06.9_VA-05_Compliance_Profile_Model_v1.0.png
Editable source	WP06.9_VA-05_Compliance_Profile_Model_v1.0.svg (scalable vector, text labels editable)
Accessibility note	Diagram labels are live text in the SVG source and at least 10 pt at full column width. Colour is always paired with a text label, and white text on teal uses teal-dark #0F7865 to meet WCAG AA contrast.

A.7 VA-06 Register Relationship Model



Attribute	Record
Identifier	VA-06
Title	Register Relationship Model
Purpose	Show the three registers, the bidirectional trace links and integrity rules between them, and their output.
Placement	Section 14 (Figure 6)
Alt text	Three registers arranged in a triangle and linked by double-headed trace arrows: the Requirement Register and Control Register (T3), the Requirement Register and Acceptance Register (T4, T5), and the Control Register and Acceptance Register (T5), each labelled with the integrity rules it supports. Commitments and journeys feed the Requirement Register, and the Acceptance Register produces the Compliance Profile for each Compliance Object.
Source filename	WP06.9_VA-06_Register_Relationship_Model_v1.0.png
Editable source	WP06.9_VA-06_Register_Relationship_Model_v1.0.svg (scalable vector, text labels editable)
Accessibility note	Diagram labels are live text in the SVG source and at least 10 pt at full column width. Colour is always paired with a text label, and white text on teal uses teal-dark #0F7865 to meet WCAG AA contrast.

END-TO-END TRACEABILITY

Appendix B. Representative Register Entries

The entries below are representative examples written as they would appear for an illustrative pilot object set. They demonstrate the register fields and end-to-end traceability across twelve of the sixteen families and all nine Control Domains. They are not a complete register, and the declared objects are illustrative rather than real engagements.

B.1 Illustrative declared objects

Object	Description	Class
OBJ-01	Practitioner Capability Pathway	CO-01
OBJ-02	Practitioner Community of Practice (small	CO-02

Object	Description	Class
	Community)	
OBJ-03	Governed Capability Domain	CO-03
OBJ-04	Capability Intelligence Service	CO-04
OBJ-05	Opportunity Matching Human-Agent Configuration	CO-05
OBJ-06	Delivery Partner Relationship	CO-06
OBJ-07	Adopting Organisation Aggregation Boundary	CO-07
OBJ-08	Partner-Delivered Pathway Configuration (OBJ-01, OBJ-04, OBJ-05, OBJ-06)	CO-08

B.2 Requirement Register (12 entries)

REQ-ID	Requirement statement	Family · Strength	Subject – Beneficiary	Journey · Arc
REQ-001	Every obligation placed on an individual in the pathway shall have a documented supported route (assisted completion, alternative format, advocate or extended time) that achieves the same outcome.	FR-02.03 · Constitutiona l	Pathway owner – participants needing support	J01 · A1
REQ-002	Entrustment granted in the pathway shall be reducible or withdrawable when evidence changes, through a recorded decision notified to the participant with a challenge route.	FR-03.03 · Core	Entrustment authority – participants and those relying on entrusted work	J01 · A2
REQ-003	The evidence framework shall be tested for Evidence Visibility Bias at each renewal and each agent model change, and shall provide a route for less-visible contribution (prevention, relationship-holding, care) to be evidenced.	FR-04.02 · Core	Service owner – participants with less-visible contribution	J01, J07 · A3
REQ-004	Definition, allocation and outcome evaluation of each opportunity shall be performed by separated parties; the matching agent shall not allocate above the declared consequence threshold without human authorisation.	FR-05.01 · Core	Configuration (agent and humans) – eligible participants	J01, J10 · A4
REQ-005	Contribution requested of Community members (mentoring, moderation, hosting) shall pass the Practical Voluntariness Test.	FR-06.03 · Constitutiona l	Steward group – Community members	J07 · A5
REQ-006	Agent-generated capability summaries used in opportunity or entrustment decisions shall carry a reliability indicator and evidence links, and shall be reviewed by a competent human who can see the underlying evidence.	FR-09.02 · Core	Service owner – summarised participants	J01, J10 · A3, A4
REQ-007	The partner agreement shall	FR-11.01 ·	Both parties –	J11 · A8

REQ-ID	Requirement statement	Family · Strength	Subject – Beneficiary	Journey · Arc
	allocate every shared control and every remedy obligation for the partner-delivered pathway and shall designate a remedy provider for shared-causation failures.	Core	participants in the configuration	
REQ-008	Retirement of the Domain shall protect dependants through advance notice, migration support and custody of capability evidence created within it.	FR-12.03 · Core	Domain owner → dependent pathways and evidence holders	J12 · A6
REQ-009	Participants shall be able to pause or exit and later re-enter without loss of recorded capability evidence; any transitional obligation for steward roles shall be bounded and supported.	FR-13.02, FR-13.03 · Constitutiona l	Pathway and service owners → participants	J01, J07 · A7
REQ-010	Exceptions within the boundary shall be approved by an authority other than the requester, compensated, time-bound and reviewed under Exception Accumulation Control on all four axes.	FR-14.03 · Constitutiona l	Governing authority → all affected parties in boundary	J13 · A9
REQ-011	When a capability record, summary or decision is corrected, every opportunity, entrustment or allocation decision that relied on it during the affected period shall be identified and reviewed.	FR-15.02 · Constitutiona l	Configuration Accountable Party → affected participants	J14 · A8
REQ-012	Containment actions on the configuration (pausing the matching agent, suspending access) shall be preceded, or where urgent immediately followed, by a Containment Consequence Assessment with tracked support actions.	FR-16.01 · Constitutiona l	Incident lead → participants affected by containment	J15 · A8

B.3 Control Register (12 entries)

CTL-ID	Control	CD · Type · Nature	Degradation triggers	Serves
CTL-001	Supported-route verification: before each pathway release every individual obligation is checked for a working supported route; periodically a sample of supported-route users is interviewed.	CD-01 · Preventive, detective · Human, procedural	Verification skipped for a release; supported-route response exceeds declared window	REQ-001
CTL-002	Entrustment change protocol: every reduction or withdrawal records its evidence and is	CD-02 · Corrective · Procedural	Late notifications; decisions without evidence reference	REQ-002

CTL-ID	Control	CD · Type · Nature	Degradation triggers	Serves
	notified to the participant within the declared window with the challenge route.			
CTL-003	Visibility-bias sampling: agent-assisted comparison of evidence volume by contribution type, followed by a human panel reviewing sampled profiles against peer and beneficiary testimony.	CD-03 · Detective · Hybrid	Sample drawn only from machine-readable sources; panel not convened; model change without re-baseline	REQ-003
CTL-004	Function separation gate: workflow enforces distinct definer, allocator and evaluator roles; allocations above threshold require a named human authoriser; periodic allocation-pattern analysis.	CD-04 · Preventive, detective · Technical, human	Role overrides; authorisation volumes indicating rubber-stamping; pattern analysis skipped	REQ-004
CTL-005	Voluntariness check: annual anonymous survey and comparison of opportunity outcomes between contributors and decliners; for Communities below the declared size, a named independent member hears concerns instead.	CD-05 · Detective · Human	Unrepresentative response; outcome comparison not performed; independent member role vacant	REQ-005
CTL-006	Reliance calibration: summaries carry reliability indicators and evidence links; decision workflows block consequential use without human review attestation; periodic accuracy sampling against source evidence.	CD-06 · Preventive, detective · Hybrid	Review attestations completed implausibly fast; accuracy drift in sampling; unregistered model version change	REQ-006
CTL-007	Control and remedy allocation matrix appended to the partner agreement, reviewed at signature and at each material change, naming the designated remedy provider.	CD-07 · Directive, preventive · Procedural	New shared service or agent introduced without matrix update	REQ-007
CTL-008	Domain retirement protocol: dependant inventory, notice, migration plan, evidence custody transfer and post-retirement check.	CD-07 · Directive, corrective · Procedural	Dependant inventory older than the last interface change	REQ-008
CTL-009	Pause, exit and re-entry test: periodic end-to-end test with a synthetic participant, and review of steward exits against the declared handover	CD-01 · Detective · Technical, procedural	Export fails format check; steward handover exceeds bound	REQ-009

CTL-ID	Control	CD · Type · Nature	Degradation triggers	Serves
	bound.			
CTL-010	Exception accumulation review: monthly review on the four accumulation axes with referral to architecture review at declared thresholds.	CD-08 · Detective · Procedural	Review deferred; threshold breached without referral	REQ-010
CTL-011	Contamination trace: a correction triggers an upward and downward trace query across registers and decision logs; a human reviewer assesses material effect; affected participants are notified.	CD-09 · Corrective · Hybrid	Trace incomplete because of missing lineage; review backlog exceeds declared window	REQ-011
CTL-012	Containment consequence step embedded in the incident runbook: an incident cannot move to recovery without a completed assessment; support actions are tracked to closure.	CD-09 · Directive, recovery · Procedural	Assessment completed after recovery began; support actions left open	REQ-012

Every control above has a named human control owner recorded in the full register entry: the pathway owner (CTL-001, CTL-009), the entrustment lead (CTL-002), the evidence steward (CTL-003), the opportunity governance lead (CTL-004), the Community steward lead (CTL-005), the service owner (CTL-006), the partnership owners of both parties (CTL-007), the Domain owner (CTL-008), the governance secretary to the governing authority (CTL-010), the challenge and remedy lead (CTL-011) and the incident lead (CTL-012).

B.4 Acceptance Register (12 entries)

ACC-ID	Object	REQ · CTL	Event · State	Evidence, authority and notes	Renewal trigger · Renewal Effect
ACC-001	OBJ-01	REQ-001 · CTL-001	Operational · Accepted with Conditions	Verification records and participant interviews. Two obligations lacked an alternative format; condition due before next release. Participation lead from a separate team (practically independent; beneficiary-informed).	Next release or 12 months. Renewal Effect: Maintaining
ACC-002	OBJ-01	REQ-002 · CTL-002	Design · Accepted	Protocol review and three simulated cases. Peer-reviewed by an assurance peer outside the pathway team.	Change to entrustment model. Renewal Effect: Unknown

ACC-ID	Object	REQ · CTL	Event · State	Evidence, authority and notes	Renewal trigger · Renewal Effect
ACC-003	OBJ-04	REQ-003 · CTL-003	Operational · Accepted with Conditions	Sampling report and panel minutes. Mentoring contribution under-evidenced; alternative evidence route required. Visibility-bias question answered: yes, absence changes outcomes. Independent evidence reviewer.	Model change or 12 months. Renewal Effect: Depleting
ACC-004	OBJ-05	REQ-004 · CTL-004	Operational · Accepted	Workflow logs reviewed by a non-agent reviewer; allocation-pattern analysis shows no concentration. Governance function acceptor (practically independent); participant panel input.	Threshold or model change. Renewal Effect: Maintaining
ACC-005	OBJ-02	REQ-005 · CTL-005	Operational · Accepted (equivalence)	Small Community: named independent member used in place of survey (Section 16.2). Independent member report and outcome comparison. Peer from another Community with member input.	Community size threshold or 12 months. Renewal Effect: Replenishing
ACC-006	OBJ-04	REQ-006 · CTL-006	Renewal · Suspended	Accuracy sampling after a model update showed drift; Degradation Event logged on CTL-006; TR-08 invalidated prior acceptance. Opens contamination review ACC-011.	Re-acceptance after recalibration. Renewal Effect: Unknown
ACC-007	OBJ-06, OBJ-08	REQ-007 · CTL-007	Design · Accepted with Conditions	Matrix lacked allocation for the partner-supplied agent (Material Adjacency Test). Condition: add before go-live. Governing-authority delegate with legal review.	Material change to agreement. Renewal Effect: Maintaining
ACC-008	OBJ-03	REQ-008 · CTL-008	Design · Accepted	Protocol and dependant inventory; adjacency test brought a dependent pathway in another organisation into scope. Domain governance peer; practically independent	Retirement decision. Renewal Effect: Maintaining

ACC-ID	Object	REQ · CTL	Event · State	Evidence, authority and notes	Renewal trigger · Renewal Effect
				evidence-custody review.	
ACC-009	OBJ-01	REQ-009 · CTL-009	Operational · Accepted	Synthetic participant test passed; steward exits reviewed within the declared bound. Practically independent acceptor; participant advocate input.	Service change or 12 months. Renewal Effect: Replenishing
ACC-010	OBJ-07	REQ-010 · CTL-010	Operational · Accepted with Conditions	Requirement-pattern axis showed FR-13.04 excepted across three objects; FR-13.04 is Constitutional, so the exceptions were invalid and converted to Not Accepted, with requirement review referred. Independent assurance function.	Six-monthly. Renewal Effect: Depleting
ACC-011	OBJ-04, OBJ-05	REQ-011 · CTL-011	Recovery · Accepted with Conditions	Trace from ACC-006 identified allocation and entrustment decisions relying on drifted summaries; decisions reviewed and material ones reopened; reopened cases tracked as a condition. Practically independent reviewer with affected-participant input.	Closure of reopened cases. Renewal Effect: Maintaining
ACC-012	OBJ-05	REQ-012 · CTL-012	Recovery · Accepted with residual harm recorded	Matching agent paused during drift; assessment recorded before pause; manual allocation delayed some opportunities. Residual harm record opened for participants who missed a time-limited opportunity. Beneficiary-informed.	Each renewal until residual harm reviewed. Renewal Effect: Depleting

B.5 End-to-end traceability matrix

Journey	REQ	CTL	CD	ACC	Object	Profile effect (Conformance · Assurance · Renewal Currency · Renewal Effect)
J01	REQ-001	CTL-001	CD-01	ACC-001	OBJ-01	With Conditions (floor,

Journey	REQ	CTL	CD	ACC	Object	Profile effect (Conformance · Assurance · Renewal Currency · Renewal Effect)
						shown individually) · Sufficient · Current · Maintaining
J01	REQ-002	CTL-002	CD-02	ACC-002	OBJ-01	Conformant (design only) · Sufficient for design · Due at operation · Unknown
J01, J07	REQ-003	CTL-003	CD-03	ACC-003	OBJ-04	With Conditions · Sufficient · Current · Depleting
J01, J10	REQ-004	CTL-004	CD-04	ACC-004	OBJ-05	Conformant · Sufficient · Current · Maintaining
J07	REQ-005	CTL-005	CD-05	ACC-005	OBJ-02	Conformant by equivalence (floor) · Sufficient · Current · Replenishing
J01, J10	REQ-006	CTL-006	CD-06	ACC-006	OBJ-04	Not Determined; Degradation Event shown · Insufficient · Overdue · Unknown
J11	REQ-007	CTL-007	CD-07	ACC-007	OBJ-06, OBJ-08	With Conditions · Sufficient · Current · Maintaining
J12	REQ-008	CTL-008	CD-07	ACC-008	OBJ-03	Conformant (design) · Sufficient · Current · Maintaining
J01, J07	REQ-009	CTL-009	CD-01	ACC-009	OBJ-01	Conformant (floor) · Sufficient · Current · Replenishing
J13	REQ-010	CTL-010	CD-08	ACC-010	OBJ-07	With Conditions (floor); distribution shown · Sufficient · Current · Depleting
J14	REQ-011	CTL-011	CD-09	ACC-011	OBJ-04, OBJ-05	With Conditions (floor) · Sufficient · Current · Maintaining
J15	REQ-012	CTL-012	CD-09	ACC-012	OBJ-05	Conformant with residual harm shown (floor) · Sufficient · Current · Depleting

PROVING THE TRACE

Appendix C. Traceability Walkthrough

C.1 Downward trace: from commitment to profile

The WP06.12 concern about concentrated converter power, and the WP06.2 commitment to legitimate authority, produce journey stage J01 activation and arc A4. That stage is carried by family FR-05 and anchor FR-05.01, parameterised for the matching configuration as REQ-004. REQ-004 is secured by CTL-004 in CD-04 and has acceptance criteria covering role separation, human authorisation above threshold and allocation-pattern evidence. ACC-004 records operational acceptance of OBJ-05 by a practically independent authority with participant-panel input, and the OBJ-05 profile states Conformant, Sufficient, Renewal Currency Current and Renewal Effect Maintaining for REQ-004, citing ACC-004. Every link from commitment to profile can be queried.

C.2 Upward trace: from control to commitment

Starting from CTL-006, the Control Register shows that it serves REQ-006. The Requirement Register traces REQ-006 to FR-09.02, to journeys J01 and J10, and to the appropriate-reliance commitments of WP06.8 Human-Agent operation and WP06.12 value realisation. The control therefore has a reason to exist (TR-03 satisfied), and anyone challenging it can see which participants it protects.

C.3 Failure chain: degradation to residual harm

A model update to the summarisation agent in OBJ-04 was registered as a material change. Renewal sampling under CTL-006 detected accuracy drift and a Degradation Event was logged. Under TR-08 the prior acceptance was invalidated and ACC-006 recorded the acceptance as Suspended. Because decisions had relied on the summaries, Decision Contamination Review opened under REQ-011, and CTL-011 traced every allocation and entrustment decision that used drifted summaries. ACC-011 records the review and the reopened cases.

In parallel, the incident lead paused the matching agent in OBJ-05. The Containment Consequence Assessment required by REQ-012 was completed before the pause and identified participants whose allocations would slow under manual matching. ACC-012 records recovery and opens an Unremedied Residual Harm record for participants who missed a time-limited opportunity. Because OBJ-08 includes a partner-supplied component, ACC-007 and the CTL-007 matrix identify the designated remedy provider, so remedy was not delayed while causation was allocated. The OBJ-05 profile therefore shows Renewal Currency as Current but Renewal Effect as Depleting until the residual harm review confirms that allocation capacity has recovered, which illustrates that the two sub-attributes are independent.

C.4 Integrity check on the sample

Rule	Result on sample	Evidence
TR-01	Pass	All twelve requirements cite family, journey and source commitment
TR-02	Pass	Each requirement has at least one control and acceptance criterion
TR-03	Pass	Each control serves at least one requirement
TR-04	Pass	Each Acceptance Record cites object, requirement, control, evidence and

Rule	Result on sample	Evidence
TR-05	Pass	authority Profile effects in B.5 cite a current or suspended Acceptance Record
TR-06	Pass with finding	ACC-010 found exceptions recorded against a Constitutional requirement; converted to Not Accepted
TR-07	Pass	ACC-011 links the correction to reliant decisions
TR-08	Triggered as designed	Model change invalidated prior acceptance for REQ-006 (ACC-006)

DECISIONS TAKEN AT FREEZE

Appendix D. Architectural Decision Record for Freeze

Discovery is closed and the architecture is frozen. Authoring surfaced seven decisions that were genuinely architectural, in that the answer changes the meaning of the frozen structure or its interfaces with other papers. No substantive contradiction was found. Each was resolved on the recommended path and is recorded below as an Architectural Decision Record (ADR) forming part of the v1.0 FINAL freeze. The final production pass added two clarifications that affect interpretation but not structure: AR-08 separates Renewal Currency from Renewal Effect, and AR-09 fixes the status of the completed visuals.

ID	Decision	Resolution adopted for v1.0 FINAL	Rationale	Status
AR-01	Status of the nine Control Domains (CD-01 to CD-09)	Ratified and frozen as part of v1.0. Control Domains organise the Control Register and control ownership; they create no additional requirements. Adding, merging or splitting a Control Domain requires a minor version of WP06.9.	Control ownership in WP06.8 and the Control Register need a stable structure; treating the domains as a changeable view would let control ownership drift without review.	Resolved; frozen
AR-02	Requirement strength classes (Constitutional, Core, Contextual)	Ratified and frozen. Section 8.2 states explicitly that strength describes how a requirement behaves under proportionality and exception, and is not a maturity level.	Without strength classes Minimum Sufficient Compliance has no floor and exceptions have no boundary. The explicit non-maturity statement preserves the frozen no-maturity-levels rule.	Resolved; frozen
AR-03	Composition of the constitutional floor	Confirmed as authored in Section 15.2: FR-02.03, FR-06.03, FR-13.01 to FR-13.04, FR-14.01, FR-14.03, FR-15.01 to FR-15.04 and FR-16.01.	Every floor item protects participation, voluntariness, exit, authority, challenge, remedy or	Resolved; frozen. Consistency check against the WP06.2

ID	Decision	Resolution adopted for v1.0 FINAL	Rationale	Status
		FR-14.02 (assurance independence) remains Core, so that small objects can use proportionate assurance while their participants keep full floor protection.	containment, and can be met by equivalence in small objects. Keeping independence at Core avoids pricing small Communities out of compliance.	rights catalogue continues as IA-06 and can only add to the floor
AR-04	Disclosure of Compliance Profiles	The principle in PR-07 is frozen, with a WP06.9 minimum: the state of every constitutional floor requirement, any Unremedied Residual Harm, and the route of challenge are always disclosed to the Requirement Beneficiaries concerned. Further disclosure tiers are defined in WP06.2 and may extend, but never reduce, this minimum.	Beneficiaries cannot challenge what they cannot see. Detailed confidentiality and security tiers belong with the rights and privacy architecture in WP06.2.	Resolved; WP06.2 to define tiers (IA-07)
AR-05	Exception Accumulation thresholds	The four accumulation axes are frozen. Default thresholds are published in implementation guidance; an object may declare stricter thresholds but never looser ones, and any declared threshold is recorded in the Requirement Register.	Fixed thresholds are brittle across very different object classes; freely declared thresholds invite gaming. Defaults that can only be tightened give consistency without false precision.	Resolved; defaults published with WP06.10 guidance
AR-06	Relationship between WP06.9 assurance bases and WP06.11 v1.0 confidence statements	WP06.9 assurance-basis descriptors (Section 13.2) record who established the evidence and how independent they were. WP06.11 v1.0 confidence statements record how strongly the evidence supports a claim and owns the methods. The Assurance dimension of a profile cites both; neither is converted to a score, and WP06.11's rule that confidence cannot compensate for missing Agency, safety, authority or safeguards applies.	Checked against WP06.11 v1.0: its frozen confidence scale answers a different question from the assurance bases, so the two are complementary rather than duplicated.	Resolved; WP06.11 alignment tracked as IA-02
AR-07	Non-contiguous	Recorded as a series convention: identifiers	Keeps discovery references and	Resolved; series

ID	Decision	Resolution adopted for v1.0 FINAL	Rationale	Status
	journey identifiers	absent from the Canonical Journey Stack (J02 to J06 and J08) are reserved and shall never be reused.	companion-paper citations unambiguous.	convention
AR-08	Renewal reporting clarified at production	Renewal is reported as two independent, labelled sub-attributes. Renewal Currency (Current, Due, Overdue, Lapsed) records whether the compliance position has been re-examined sufficiently. Renewal Effect (Unknown, Depleting, Maintaining, Replenishing, Regenerative) records what is happening to the future capability reasonably required by the object's legitimate purpose, criticality and horizon. Sufficient Renewal protects both.	Restores the frozen Renewal discovery, which asks whether future capability is being depleted, maintained, replenished or regenerated, without removing review currency. Neither sub-attribute is ordered as maturity or combined into a score.	Resolved; clarification of the frozen Renewal model, no new family or structure
AR-09	Status of the completed visuals	VA-01 to VA-06 are normative illustrations of the text. Where a visual and the text differ, the text prevails and the visual is corrected under the change control of the companion production specification.	Keeps the architecture authoritative in one place while allowing visuals to be revised without reopening the paper.	Resolved; production record in Appendix A

D.1 Contradiction checks performed

Potential tension	Resolution in this paper	Result
No automatic inheritance and CO-07 aggregation	CO-07 shows a distribution and accepts only aggregation-level requirements (12.4)	No contradiction
No overall percentage and register counts	Counts permitted as management information, never as a compliance score (PR-04)	No contradiction
No maturity levels and requirement strength or assurance bases	Strength describes behaviour under exception; bases are combinable descriptors (8.2, 13.2)	No contradiction
Three registers and exception, degradation and residual harm records	Recorded as typed entries within the three registers (14.4)	No contradiction
Renewal as universal principle and FR-10 including Renewal	FR-10 carries operational renewal only; compliance renewal sits in the profile (6.2)	No contradiction
Agents as Requirement Subjects and accountability	Agents may be subjects but never Accountable Parties (5.3)	No contradiction
Constitutional floor and small Communities	Floor met by equivalence where needed; never excepted (15.2, 16.2)	No contradiction

CANONICAL TERMS

Appendix E. Glossary of WP06.9 Constructs

Term	Definition
Acceptance Record	The recorded, reasoned and challengeable decision that a requirement is or is not satisfied for a declared object; the atomic unit of the Compliance Profile.
Accountable Party	The human or legal person answerable for satisfaction, remedy and renewal of a requirement.
Anchor requirement	A canonical minimum requirement of a family that every in-scope object must address.
Compensating control	An alternate control that secures a requirement's effect when the primary control cannot.
Compliance Object	A declared, bounded thing whose compliance position can be meaningfully stated and challenged (CO-01 to CO-08).
Compliance Profile	The Conformance, Assurance and Renewal position of one Compliance Object, composed from current Acceptance Records.
Constitutional floor	The set of Constitutional requirements that apply to every object and cannot be excepted.
Control Domain	An organising grouping of controls by the families they principally serve (CD-01 to CD-09).
Degradation Event	An observed condition in which a control operates below designed effectiveness without yet failing.
Equivalence	Satisfaction of a requirement by different means with equivalent protective effect.
Exception	An approved, compensated and time-bound departure from a Core or Contextual requirement.
Material adjacency	The property of an out-of-boundary object that can materially change whether an in-scope requirement is satisfied.
Renewal Currency	The Renewal sub-attribute recording whether the compliance position has been re-examined sufficiently: Current, Due, Overdue or Lapsed.
Renewal Effect	The Renewal sub-attribute recording what is happening to the future capability reasonably required by the object's legitimate purpose, criticality and horizon: Unknown, Depleting, Maintaining, Replenishing or Regenerative. It is a direction, not a grade.
Requirement Beneficiary	The party whose interests a requirement exists to protect or enable.
Requirement strength	The class (Constitutional, Core or Contextual) that determines how a requirement behaves under proportionality and exception.
Requirement Subject	The party, object or configuration whose behaviour or state a requirement governs.
Sufficient Renewal	Renewal that responds to elapsed time, material change and new learning, proportionate to consequence, and that assesses and acts on the Renewal Effect on future capability.
Unremedied Residual Harm	Harm that remains after remedy has been attempted; recorded and reviewed, never closed as resolved.

Term	Definition
Visual Catalogue	Appendix A record of the completed architecture visuals VA-01 to VA-06, their placement, alt text and source files.