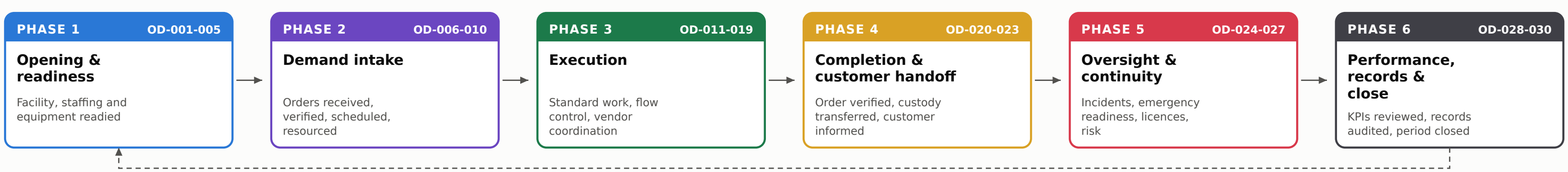
Operations Department (OD) — Complete SOP Set

Archetype: PROFESSIONAL_SERVICES · Professional Services

Tier: Free (entire Operations department) · Modules: 30 · Standard: locked 13-section

Contents

FIGURE 1 — OPERATIONS WORKFLOW



Six phases · 30 modules · one continuous operating cycle, closing back into Phase 1 the next operating day.

Modules

- OD-001 — Daily Operations Opening Procedure
- OD-002 — Shift Handover & Briefing
- OD-003 — Staffing & Coverage Verification
- OD-004 — Work Area Readiness & Housekeeping Inspection
- OD-005 — Operational Equipment Availability Check
- OD-006 — Customer Order / Work Request Intake
- OD-007 — Order Verification & Acceptance Review
- OD-008 — Job Scheduling & Sequencing
- OD-009 — Resource & Capacity Allocation
- OD-010 — Incoming Material / Supply Verification
- OD-011 — Standard Work Execution & Process Adherence
- OD-012 — Work-in-Progress Tracking & Status Update
- OD-013 — Operational Handoff Between Work Stages
- OD-014 — Output Monitoring & Throughput Review
- OD-015 — Bottleneck Identification & Response
- OD-016 — Rework & Nonconforming Work Handling
- OD-017 — Schedule Deviation & Change Management
- OD-018 — Subcontractor & Vendor Coordination
- OD-019 — Interdepartmental Coordination Review
- OD-020 — Job / Order Completion Verification
- OD-021 — Delivery / Service Turnover
- OD-022 — Customer Communication & Status Notification
- OD-023 — Customer Feedback & Complaint Intake
- OD-024 — Operational Incident Reporting & Response
- OD-025 — Emergency & Business Continuity Readiness Check
- OD-026 — Regulatory, License & Permit Currency Verification
- OD-027 — Operational Risk Review
- OD-028 — Operational KPI Review
- OD-029 — Operational Records Retention & Documentation Audit
- OD-030 — End-of-Shift / End-of-Day Operations Closeout

Phase 1 — Opening & readiness

OD-001 — Daily Operations Opening Procedure

Estimated completion time: 20–40 minutes per shift/day start

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1. Purpose

This procedure establishes a consistent start-of-day readiness sequence so that client engagements, deliverables, and record systems are secured, accessible, and staffed before billable or client-facing work begins. It ensures the practice opens in a controlled, confidential, and audit-ready state.

2. Scope

Covers the opening sign-on sequence for a professional services office or service line — access unlocking, systems and data-hosting availability check, confidentiality confirmation, staffing roll-call, and readiness sign-off. Excludes work-area housekeeping (see OD-004), equipment availability confirmation (see OD-005), and safety-specific readiness (see SD-001), each authored in its own module.

3. Responsibilities

- Operations Supervisor — owns the opening sequence, verifies readiness sign-on, resolves or escalates findings before work proceeds.
- Supervising Licensed Professional — confirms professional-obligation readiness (confidentiality, conflicts screening access, and licensed-service authorization) for the day.
- IT/Systems Coordinator — confirms availability of practice-management systems, hosted data environments, and network access before staff log in.

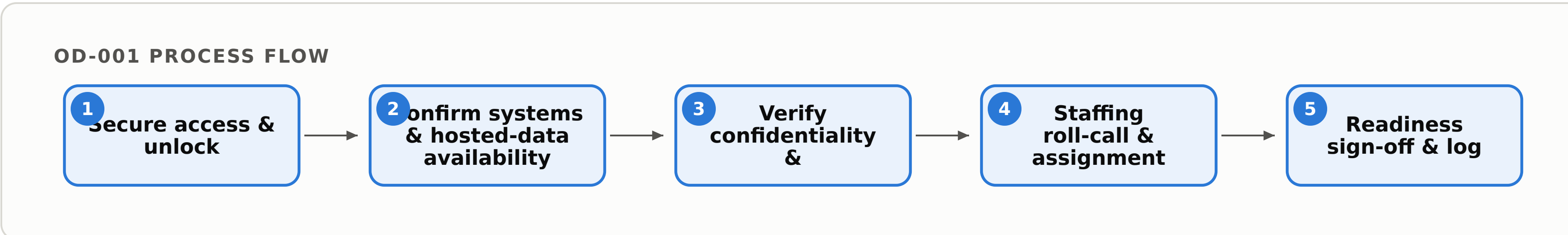
4. Required PPE & Lockout/Tagout

- Standard facility PPE; none beyond ordinary office conditions. Where a service line operates field vehicles or site visits, apply the field-kit check under the applicable field procedure.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific govern a start-of-day opening across all members; internal opening-readiness policy applies. Related obligations that shape the steps below include general workplace-poster and access requirements under the Fair Labor Standards Act (29 CFR Part 516 recordkeeping) and client-confidentiality/data-safeguard duties under the applicable state licensing-board rules of professional conduct and the FTC Safeguards Rule (16 CFR Part 314) where nonpublic personal information is held. Member-specific regimes (e.g., IRS Publication 4557 for tax preparers, or state notary-journal rules) apply only to those members. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Unlock and disarm controlled access points; confirm reception and client-facing areas are set to a confidential, ready state (no prior-day files or client information left exposed).
2. Power up and log into workstations and network; IT/Systems Coordinator confirms practice-management, document-management, and hosted-data environments (518210 Data Processing and Hosting providers) are reachable and current.
3. Verify overnight data backups completed and no failed-sync or outage alerts are pending from the hosting provider; note any degraded service.
4. Confirm confidentiality safeguards are active — screen locks, access permissions, and conflicts/matter-intake screening tools are available to the Supervising Licensed Professional.
5. Conduct staffing roll-call: confirm required licensed and support staff are present or accounted for, and that at least one Supervising Licensed Professional is available to authorize client work.
6. Review the day's priority engagements, deadlines, and client appointments; confirm any statutory or filing deadlines due today are flagged to responsible staff.
7. Resolve or escalate any opening finding per Section 8 before releasing staff to client-facing or billable work.
8. Record the completed opening in the daily opening log, noting time, personnel on sign-on, and any findings/actions.

8. Decision Tree

Decision Tree — Daily Operations Opening Procedure

START — THIS PROCEDURE ESTABLISHES A CONSISTENT START-OF-DAY READINESS SEQUENCE SO THAT CLIENT ENGAGEMENTS, DELIVERABLES, AND RECORD SYSTEMS ARE SECURED, ACCESSIBLE, AND STAFFED BEFORE BILLABLE OR …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION
no safety, compliance, or service impact

ACTION
Log it in the opening log and continue; note for the Operations Supervisor's end-of-shift review

ESCALATE TO
No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION
material risk to safety, compliance, output, or service — not an immediate hazard

ACTION
Hold the affected work or engagement, escalate to the Operations Supervisor (and Supervising Licensed Professional if it touches professional obligations), and resolve before that work proceeds

ESCALATE TO
Operations Supervisor

Timing: resolve before the work proceeds

CRITICAL

DEFINITION
client confidential/nonpublic data is exposed or inaccessible, hosted systems are down, or no licensed professional is available to authorize client work

ACTION
Do not open client-facing operations; immediately notify the Operations Supervisor, Supervising Licensed Professional, and IT/Systems Coordinator, contain the exposure or outage, and begin any required breach-notification assessment before work begins

ESCALATE TO
Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Systems and hosted-data environments confirmed available and backups verified.
- Confidentiality safeguards confirmed active across all client-facing and workstation areas.
- Licensed-professional authorization present and staffing roll-call complete.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Controlled access points unlocked/disarmed; client areas confidential-ready		
Practice-management & hosted-data environments reachable		
Overnight backups completed; no outage/failed-sync alerts		
Confidentiality safeguards (screen locks, access permissions) active		
Required staffing present; licensed professional available		
Today's deadlines/appointments reviewed and flagged		
Opening log completed and signed		

11. KPIs

- Opening sequence completed before scheduled work start: ≥ 98% of operating days.
- Days opened with zero unresolved Critical findings: 100%.
- Systems/hosted-data availability confirmed at sign-on: ≥ 99% of operating days.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-002 — Shift Handover & Briefing

Estimated completion time: 15–30 minutes per handover

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1. Purpose

To ensure a structured, documented transfer of engagement status, open client matters, deadlines, and operational priorities from the outgoing to the incoming shift or coverage team, so that no client obligation, deliverable, or filing deadline is dropped during a change of coverage.

2. Scope

Covers the outgoing→incoming handover of matter/engagement status, open issues, pending deliverables, priority tasks, and system/access status for Operations coverage within a Professional Services office. Excludes the safety pre-shift briefing, which is covered under SD-003, and maintenance-crew handover, which is covered under MD-001.

3. Responsibilities

- Outgoing Shift Lead — compiles and records matter status, open issues, deadlines, and pending client deliverables; certifies the handover record is complete and accurate at end of coverage.
- Incoming Shift Lead — reviews and acknowledges the handover record, confirms understanding of priorities and open items, and raises gaps before assuming coverage.
- Operations Supervisor (Supervising Licensed Professional or delegate) — verifies contested or high-risk items, resolves escalations, and signs off the completed handover.

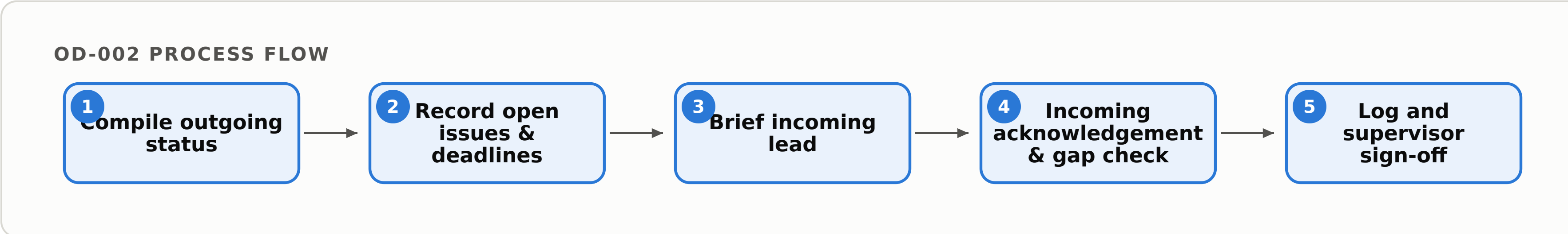
4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond ordinary office conditions).
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific to shift handover; internal policy applies. General obligations that shape handover content across all members: professional confidentiality and safeguarding of client information (each member's applicable state licensing board / professional conduct rules), the FTC Standards for Safeguarding Customer Information (16 CFR Part 314) governing access to client data across shift transitions, and IRS Publication 4557 where taxpayer data is handled (e.g., tax preparation, payroll, and accounting service lines). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Outgoing Shift Lead opens the standing handover log and lists all active matters/engagements with current status and responsible owner.
2. Record each open issue, blocked item, and any pending client communication, with the required next action and the owner.
3. Flag all deadlines falling within the incoming coverage window (filings, deliverable due dates, client callbacks), ranked by priority.
4. Note system/access status — hosted application availability, pending IT tickets, and any hardware or licensed-software issues affecting the incoming shift (data-processing/hosting availability per 518210).
5. Conduct a live verbal briefing with the Incoming Shift Lead walking through priorities and any Major/Critical items.
6. Incoming Shift Lead reviews the record, confirms understanding, and raises any gaps or ambiguities for resolution before assuming coverage.
7. Both leads confirm the confidentiality boundary — that only authorized personnel retain data access across the transition per 16 CFR Part 314.
8. Record the completed handover: timestamp, both names, items transferred, and unresolved flags; route to the Operations Supervisor for verification.

8. Decision Tree

OD-002 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Shift Handover & Briefing

START — TO ENSURE A STRUCTURED, DOCUMENTED TRANSFER OF ENGAGEMENT STATUS, OPEN CLIENT MATTERS, DEADLINES, AND OPERATIONAL PRIORITIES FROM THE OUTGOING TO THE INCOMING SHIFT OR COVERAGE TEAM, SO THAT NO CLIENT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log it in the handover record with owner and next action, and continue the briefing

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

hold the affected item from being assumed as "clear," escalate to the Operations Supervisor named in Section 3, and resolve or assign a documented owner before the incoming shift proceeds

ESCALATE TO

Operations Supervisor named in Se

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a client filing deadline, statutory/regulatory deadline, or client deliverable will be missed, or client-confidential data access was improperly retained or exposed across the transition

ACTION

immediately notify the Operations Supervisor and the Supervising Licensed Professional, contain the affected matter, and take corrective action before coverage transfers

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every active matter has a named owner and current status in the handover record.
- All deadlines within the coverage window are listed and prioritized.
- Incoming Shift Lead has acknowledged the record and raised any gaps.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
All active matters listed with status and owner		
Open issues include required next action		
Deadlines in coverage window flagged and ranked		
System/access & hosted-application status recorded		
Confidentiality/data-access boundary confirmed		
Incoming lead acknowledgement captured		
Handover record timestamped and signed		

11. KPIs

- Handover record completed and acknowledged: 100% of coverage transitions.
- Items dropped or missed deadlines attributable to handover: 0 per quarter.
- Handover completed within scheduled window: ≥ 95%.

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

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OD-003 — Staffing & Coverage Verification

Estimated completion time: 20–40 minutes per operating period

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1. Purpose

To confirm, before each operating period begins, that every role required to deliver client engagements is present, holds a current license or credential where the role requires one, and is formally assigned to the work — so that no client-facing service proceeds without qualified, supervised coverage.

2. Scope

Covers the pre-period verification that required roles are staffed, credential-current, and assigned across the service lines active for the operating period. Excludes the building of shift or rotation schedules (see HR-015) and the assessment or certification of individual competency (see TR-020); this procedure verifies coverage against those inputs, it does not create them.

3. Responsibilities

- Operations Coordinator — runs the verification, reconciles the coverage matrix against the roster, records findings, and opens the operating period.
- Supervising Licensed Professional — confirms that engagements requiring a licensed sign-off have a present, credential-current professional assigned and that supervision ratios are met.
- Practice / Office Manager — resolves gaps, authorizes contingency coverage, and signs off closure.

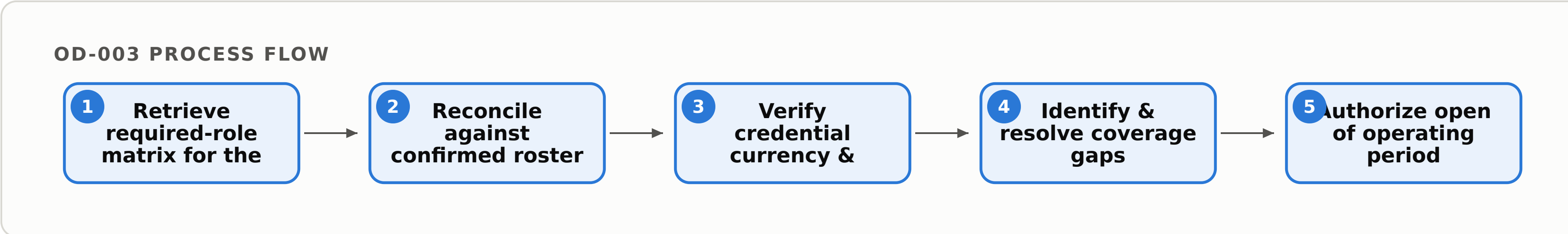
4. Required PPE & Lockout/Tagout

- Standard facility PPE; none specific to this administrative task.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific to staffing verification across the full span; internal policy applies as the governing frame. General obligations that touch every member include Fair Labor Standards Act (29 U.S.C. §201 et seq.) recordkeeping for hours worked, IRC §3402 / Form I-9 (8 U.S.C. §1324a) work-authorization verification, and each service line's own state licensing-board rules on supervision of credentialed work (e.g., state CPA, bar, or architecture board supervision requirements where that role is staffed). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Retrieve the required-role matrix for the operating period from the practice-management system (hosted per 518210), listing each active service line and its minimum required roles.
2. Pull the confirmed roster of present staff (as produced under HR-015) and match each name to a required role.
3. For each role requiring a license or credential, confirm currency against the credential register — verify expiry date, jurisdiction, and any supervision condition; do not re-assess competency (that lives in TR-020).
4. Confirm each present, qualified person is formally assigned to a specific service line or engagement in the system, with no role left unassigned.
5. Confirm supervision ratios are met where a service line requires a Supervising Licensed Professional to oversee non-licensed or provisional staff.
6. Flag any gap — vacant required role, expired credential, unassigned person, or broken supervision ratio — and route it under the Decision Tree.
7. Once all gaps are resolved or contingency coverage authorized, record the verification result and open the operating period.
8. File the completed checklist and coverage matrix to the records system for the retention period defined in internal policy.

8. Decision Tree

OD-003 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Staffing & Coverage Verification

START — TO CONFIRM, BEFORE EACH OPERATING PERIOD BEGINS, THAT EVERY ROLE REQUIRED TO DELIVER CLIENT ENGAGEMENTS IS PRESENT, HOLDS A CURRENT LICENSE OR CREDENTIAL WHERE THE ROLE REQUIRES ONE, AND IS FORMALLY …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log it in the coverage record, note the workaround, and continue opening the period

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

hold the affected service line, escalate to the Practice / Office Manager, and authorize contingency coverage or reassign before that line proceeds

ESCALATE TO

Practice / Office Manager

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a client-facing engagement requiring a licensed sign-off has no present, credential-current professional or breaches a mandated supervision ratio

ACTION

do not open that service line; notify the Supervising Licensed Professional and Practice / Office Manager immediately and suspend affected work until qualified coverage is confirmed

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every active service line for the period is matched to its required-role minimum.
- Every credential-dependent role shows a current, in-jurisdiction credential.
- Every present person is assigned to a specific engagement or line with supervision ratios met.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Required-role matrix retrieved for correct operating period		
Confirmed roster reconciled against required roles		
All credential-dependent roles verified current & in-jurisdiction		
No required role left vacant		
All present staff formally assigned to a service line/engagement		
Supervision ratios met where applicable		
Verification result recorded and period opened		

11. KPIs

- Operating periods opened with full verified coverage ≥ 99%
- Credential-lapse gaps found after period open 0 per quarter
- Verification completed before scheduled period start ≥ 95% of periods

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

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1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-004 — Work Area Readiness & Housekeeping Inspection

Estimated completion time: 20–40 minutes per work area, performed at start of business day

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1. Purpose

This procedure ensures that professional work areas — client-facing rooms, staff workstations, and shared collaboration and file-handling spaces — are clean, organized, secure, and fit for the day's engagements before work begins. It protects client confidentiality, prevents loss or exposure of sensitive materials, and maintains a professional, safe environment.

2. Scope

Covers daily readiness and housekeeping inspection of offices, reception, conference/meeting rooms, staff workstations, print/copy/scan stations, and IT hardware surfaces within occupied professional-services premises. Excludes warehouse housekeeping (see WH-023) and maintenance-shop housekeeping (see MD-025); this procedure does not author those areas.

3. Responsibilities

- Operations Coordinator — performs the daily walkthrough, completes the checklist, and closes out routine findings.
- Supervising Licensed Professional — verifies readiness of client-facing areas, adjudicates confidentiality exposures, and signs off.
- Office/Facilities Lead — coordinates cleaning, minor repairs, and restocking of consumables; routes items outside scope.

4. Required PPE & Lockout/Tagout

- Standard facility PPE; nitrile gloves and surface-disinfectant wipes available for cleaning shared surfaces and IT hardware.
- Not applicable — no hazardous energy involved. Where powered equipment (shredders, printers) is cleared, power off at the unit before wiping.

5. Regulatory References

- OSHA General Duty Clause, 29 U.S.C. §654(a)(1) (safe workplace); OSHA Walking-Working Surfaces, 29 CFR 1910.22 (clear, orderly floors and aisles); OSHA Exit Routes, 29 CFR 1910.37 (unobstructed egress).
- Federal Trade Commission Safeguards Rule, 16 CFR Part 314, and applicable state records-confidentiality/data-protection statutes governing physical safeguarding of client information (member-specific regimes apply as examples, e.g., professional-conduct confidentiality rules of the applicable state licensing board).
- Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Retrieve the daily checklist and confirm which work areas are in service for the day's engagements (client meetings, filing sessions, project work).
2. Walk each area; confirm aisles, doorways, and marked egress paths are clear and unobstructed per 29 CFR 1910.37/1910.22.
3. Inspect floors, desks, and shared surfaces for spills, trip hazards, clutter, and cleanliness; wipe client-contact surfaces and IT hardware where soiled.
4. Confirm no confidential client materials (files, printouts, notes, drawings, returns, settlement documents) are left exposed; secure loose items to locked storage per the FTC Safeguards Rule and internal policy.
5. Check print/copy/scan and shredding stations: clear output trays of abandoned documents, confirm shred bins are not overflowing, and restock consumables.
6. Verify IT hardware sourced under 334111 (workstations, monitors, docks) is seated, cabling is not a trip hazard, and screens are locked/unattended sessions closed.
7. Correct minor items on the spot; route items outside scope (repairs, deep cleaning) to the Office/Facilities Lead.
8. Complete the Inspection Checklist, note any findings and corrective actions, and obtain Supervisor Verification.

8. Decision Tree

Decision Tree — Work Area Readiness & Housekeeping Inspection

START — THIS PROCEDURE ENSURES THAT PROFESSIONAL WORK AREAS — CLIENT-FACING ROOMS, STAFF WORKSTATIONS, AND SHARED COLLABORATION AND FILE-HANDLING SPACES — ARE CLEAN, ORGANIZED, SECURE, AND FIT FOR THE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log on the checklist, correct on the spot or notify the Office/Facilities Lead, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

hold use of the affected area, escalate to the Supervising Licensed Professional or Office/Facilities Lead named in Section 3, and resolve before the area is opened for engagements

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

exposed or unsecured confidential client materials, or a blocked emergency exit

ACTION

immediately secure/contain the materials or clear the egress path, do not admit clients or staff to the area, and notify the Supervising Licensed Professional at once for confidentiality events (potential breach handling) and 911/facilities for life-safety obstructions

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

No finding — Activity stands. Complete the checklist and continue.

Minor — Handled in place at task level; no escalation.

Major — Supervisory decision required before the next stage.

Critical — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Egress paths and aisles confirmed clear before any area is opened.
- No confidential client materials left exposed on desks, printers, or shared surfaces.
- Shared surfaces and IT hardware cleaned; consumables and shred bins within capacity.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Aisles, doorways, and marked egress paths clear and unobstructed		
Floors and surfaces clean; no spills or trip hazards		
No confidential client materials exposed; secured to locked storage		
Print/copy/scan trays cleared; shred bins within capacity		
IT hardware seated, screens locked, cabling not a trip hazard		
Consumables restocked; waste and recycling emptied		
Client-facing rooms presentable and ready for scheduled engagements		

11. KPIs

- Areas passing inspection before start of business: ≥ 98%.
- Unresolved Critical findings (exposed confidential materials or blocked egress): 0.
- Daily checklist completion and sign-off rate: 100%.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

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1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-005 — Operational Equipment Availability Check

Estimated completion time: 20–40 minutes at start of each service period

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1. Purpose

This procedure confirms that the equipment, software, and hosted services a professional-services team needs for the coming work period — workstations, network access, licensed applications, and secure client-file systems — are physically present, functional, and released for use, so that billable and client-facing work can begin without interruption or data-handling risk.

2. Scope

Covers the pre-period availability verification of computing hardware, licensed software seats, network/VPN connectivity, and hosted data services assigned to the service line for the period. Excludes equipment condition and defect inspection (see ED-003), preventive-maintenance status (see PM-024), and material-handling-equipment pre-use checks (see WH-004); this module confirms availability and readiness only, not physical condition or maintenance history.

3. Responsibilities

- Operations Coordinator — runs the availability check at period start, records results, and releases equipment for use or holds it pending resolution.
- IT/Systems Administrator — confirms network, VPN, license-server, and hosted-service availability and remediates access or provisioning failures.
- Supervising Licensed Professional — authorizes work start, resolves availability conflicts affecting client commitments, and signs off on the completed check.

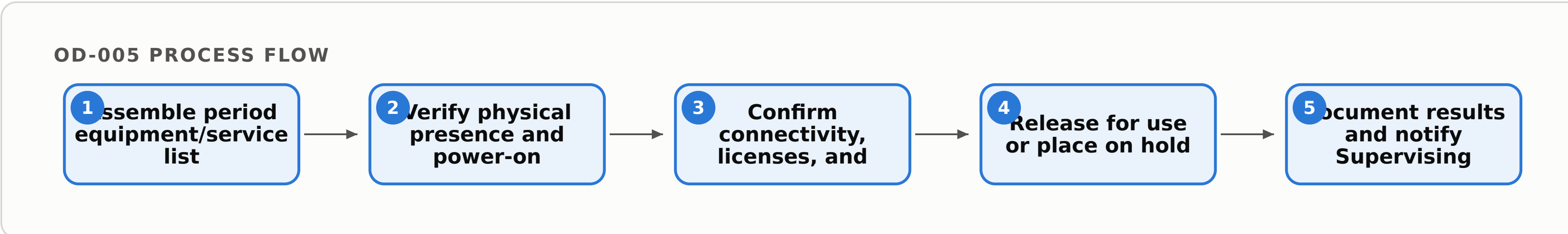
4. Required PPE & Lockout/Tagout

- Standard facility PPE; none beyond general office safety practices required for this task.
- Not applicable — no hazardous energy involved. De-energization of faulty hardware for service is handled under ED-003.

5. Regulatory References

- None sector-specific govern equipment availability across all members; internal Operations policy applies. Data-handling and confidentiality obligations that attach to the systems being verified derive from professional duties of confidentiality under the applicable state licensing board rules, contractual client-data commitments, and where personal data is processed, applicable privacy statutes (e.g., state data-protection and breach-notification laws). Software use is governed by applicable end-user license agreements. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Retrieve the assigned equipment and service roster for the period, including workstations, peripherals, licensed application seats, network/VPN accounts, and hosted client-file services.
2. Confirm each hardware item (sourced via 423430 Computer Equipment Wholesalers; manufactured under 334111 Electronic Computer Manufacturing) is physically present at its assigned station and powers on to the login prompt.
3. Verify network and VPN connectivity and confirm that hosted data services (518210 Data Processing and Hosting) are reachable and responsive.
4. Confirm each required licensed application launches and that its license/seat is active and not expired; note any seat shortfall against headcount for the period.
5. Verify access to secure client-file repositories and confirm that authentication (MFA where required) functions for each user role scheduled to work.
6. For any item present but non-functional, do not diagnose or repair here — flag it and route the availability gap; refer condition/defect issues to ED-003.
7. Release all confirmed-available equipment and services for use; place any unresolved item on hold and identify a substitute or workaround for the period.
8. Record all results on the Inspection Checklist, note substitutions, and notify the Supervising Licensed Professional that the check is complete.

8. Decision Tree

OD-005 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Operational Equipment Availability Check

START — THIS PROCEDURE CONFIRMS THAT THE EQUIPMENT, SOFTWARE, AND HOSTED SERVICES A PROFESSIONAL-SERVICES TEAM NEEDS FOR THE COMING WORK PERIOD — WORKSTATIONS, NETWORK ACCESS, LICENSED APPLICATIONS, AND SECURE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Log the item on the checklist, apply the available substitute or seat reassignment, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

Place the affected item or account on hold, escalate to the IT/Systems Administrator and Supervising Licensed Professional, and resolve or arrange a documented workaround before that work stream proceeds

ESCALATE TO

IT/Systems Administrator and Supe

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a system or credential needed for confidential client work is unavailable or its access controls cannot be confirmed, exposing client data or halting a deadline-bound engagement

ACTION

Halt use of the affected system immediately, notify the Supervising Licensed Professional and IT/Systems Administrator without delay, and initiate the internal data-security/incident protocol before any workaround touches client data

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every roster item is accounted for as present, substituted, or on hold — no blanks.
- All active licensed-software seats and hosted-service accesses verified against scheduled headcount.
- Every held item has a documented substitute, workaround, or resolution owner before work starts.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Assigned workstations/peripherals present and power on		
Network and VPN connectivity confirmed		
Hosted client-data services reachable and responsive		
Required licensed applications launch with active seats		
Secure client-file repository access and authentication verified		
Seat/account count matches scheduled headcount for period		
Held items have documented substitute or resolution owner		

11. KPIs

- Equipment/service availability at period start ≥ 98% of roster items.
- Availability check completed before scheduled work start ≥ 99% of periods.
- Unresolved Critical availability findings at work start = 0.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

Phase 2 — Demand intake

OD-006 — Customer Order / Work Request Intake

Estimated completion time: 15–40 minutes per intake

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To receive, log, and route incoming client orders, engagement requests, and service work requests into the firm's matter/job intake system so that every request is uniquely identified, attributed to a responsible professional, and preserved as an auditable record before any billable work begins.

2. Scope

Covers first-touch receipt of a new order or work request through any channel (phone, email, web portal, referral, or in-person), verification of requester identity and contact data, creation of the intake/matter record, and hand-off routing. Excludes acceptance/capability review and engagement decisioning, which is covered under OD-007.

3. Responsibilities

- Intake Coordinator — receives the request, verifies requester and contact details, creates the intake record, and captures the scope statement as described by the requester.
- Supervising Licensed Professional — confirms the request is routed to the correct service line and is available to answer classification questions during intake.
- Operations Records Custodian — maintains the intake log, applies retention rules, and controls access permissions to intake data in the hosted system.

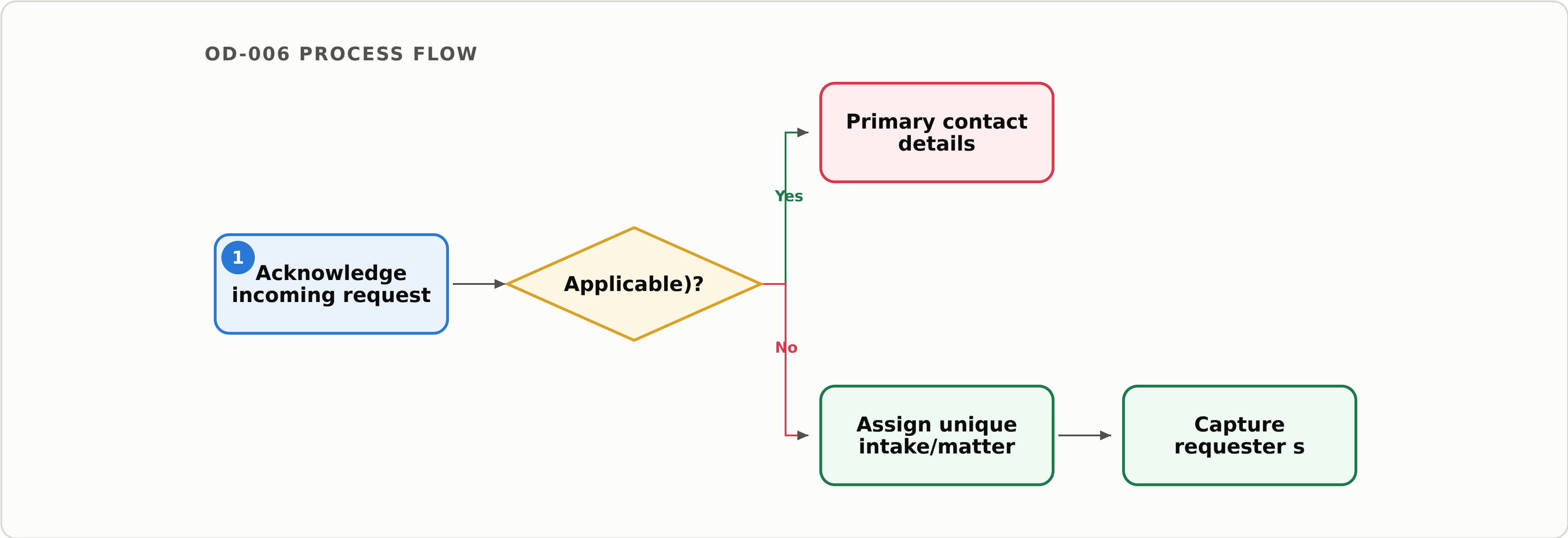
4. Required PPE & Lockout/Tagout

- Standard facility PPE; none beyond office norms. Intake is a clerical/coordination task.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific governs intake across all members; internal intake and records-control policy applies. Common obligations that shape this task include: FTC Act §5 (16 CFR) on truthful client representations and data-handling practices; the FTC Safeguards Rule (16 CFR Part 314) where the firm handles nonpublic personal financial information; and applicable state licensing-board rules on client confidentiality and record retention (e.g., state CPA board, state licensing board for architects, or state bar rules, depending on the service line). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Acknowledge the incoming request within the firm's response window and confirm the channel of receipt (phone, email, web portal, referral, in-person).
2. Verify the requester's legal name, entity (if applicable), and primary contact details; record the source or referring party.
3. Assign a unique intake/matter identifier from the hosted intake system so the request is traceable from first touch.
4. Capture the requester's stated scope, deliverable, deadline, and any preliminary priority — record it verbatim where possible; do not evaluate feasibility (that belongs to OD-007).
5. Record whether the request involves nonpublic personal, financial, or confidential information and flag the record for appropriate access restrictions.
6. Confirm the intake record is stored in the approved hosted environment with correct retention tagging and access permissions.
7. Route the completed intake record to the Supervising Licensed Professional for acceptance/capability review per OD-007.
8. Log the intake completion (identifier, timestamp, coordinator initials) in the intake register and close out this procedure.

8. Decision Tree

OD-006 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Customer Order / Work Request Intake

START — TO RECEIVE, LOG, AND ROUTE INCOMING CLIENT ORDERS, ENGAGEMENT REQUESTS, AND SERVICE WORK REQUESTS INTO THE FIRM'S MATTER/JOB INTAKE SYSTEM SO THAT EVERY REQUEST IS UNIQUELY IDENTIFIED, ATTRIBUTED TO A …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

e.g., missing non-essential contact field; note it in the intake record, request the detail, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

e.g., unverifiable requester identity, ambiguous scope, or possible conflict indicator; hold the intake record in a pending status, escalate to the Supervising Licensed Professional, and resolve before routing to OD-007

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

confidential or nonpublic client data received or exposed through an unsecured channel, or a request that appears fraudulent/impersonated

ACTION

immediately contain the record (restrict access, do not forward), notify the Supervising Licensed Professional and Operations Records Custodian, and follow the firm's data-incident procedure before any further processing

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every request has a unique intake/matter identifier before routing.
- Requester identity and primary contact data are verified and recorded.
- Confidential/nonpublic data is flagged and access-restricted at record creation.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Request acknowledged within response window		
Requester identity and contact data verified		
Unique intake/matter identifier assigned		
Stated scope, deadline, and priority captured		
Confidential/nonpublic data flagged and restricted		
Record stored in approved hosted system with retention tag		
Routed to Supervising Licensed Professional (OD-007)		

11. KPIs

- Intake acknowledgment within response window ≥ 95%
- Intake records with complete required fields at routing ≥ 98%
- Duplicate or unidentified intake records ≤ 1%

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-007 — Order Verification & Acceptance Review

Estimated completion time: 30–90 minutes per engagement request

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure ensures that before any client engagement is accepted, the firm confirms the requested scope, the deliverable specification, its own professional capability and independence, and the commercial and ethical terms — so that only work the firm is competent, licensed, and free of conflict to perform is taken on.

2. Scope

Covers the pre-acceptance review of an inbound engagement request across all service lines: scope confirmation, specification clarity, capability/independence assessment, and terms agreement up to the point of a signed engagement letter. Excludes intake recording of the request (covered under OD-006) and calendar/resource scheduling of accepted work (covered under OD-008).

3. Responsibilities

- Engagement Intake Coordinator — assembles the request package, runs the conflict/independence check, and prepares the verification file.
- Supervising Licensed Professional — confirms scope feasibility, professional capability, and independence; approves or declines acceptance.
- Operations Manager — verifies commercial terms, resource availability at a summary level, and that the engagement letter is complete before countersignature.

4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond ordinary office conditions).
- Not applicable — no hazardous energy involved. Information-security controls apply to client data handled on firm workstations and hosted systems in lieu of physical lockout.

5. Regulatory References

- None sector-specific govern acceptance review across the entire span; internal engagement-acceptance policy applies as the governing frame. Supporting obligations common to all members: applicable state professional licensing-board rules of professional conduct (competence, conflicts, and engagement-terms duties); IRS Circular 230 where federal tax matters are within scope; FTC Act §5 and (for consumer-facing terms) applicable state UDAP statutes governing truthful representation of services; and data-safeguarding obligations under the FTC Safeguards Rule (16 CFR Part 314) for client information held on firm and hosted systems. Member-specific examples: CPA independence standards, or state title-agency licensing rules, apply only where that service line operates. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Retrieve the intake record (per OD-006) and confirm the request package is complete: requesting party, requested service, target outputs, and any client-supplied materials or files.
2. Confirm scope in writing with the requester — define what is and is not included, the jurisdiction(s) or venue(s) involved, and any dependencies on third parties.
3. Verify the deliverable specification: format, standard to be met, applicable filing or professional standard, and acceptance criteria the client will use to judge completion.
4. Run the conflict-of-interest and independence check against the client/adverse-party register; escalate any hit to the Supervising Licensed Professional before proceeding.
5. Assess firm capability: confirm the required licensure/credentials for the jurisdiction, subject-matter competence, and that supporting IT hardware (334111) and hosted data-processing systems (518210) can securely handle the client data at the required volume.
6. Verify commercial terms: fee basis, retainer/deposit, billing cycle, scope-change procedure, and engagement duration; flag any term outside standard policy to the Operations Manager.
7. Record the accept/decline decision with rationale; on acceptance, issue the engagement letter for client and firm signature.
8. File the completed verification package, conflict-check result, and executed engagement letter in the engagement record.

8. Decision Tree

OD-007 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Order Verification & Acceptance Review

START — THIS PROCEDURE ENSURES THAT BEFORE ANY CLIENT ENGAGEMENT IS ACCEPTED, THE FIRM CONFIRMS THE REQUESTED SCOPE, THE DELIVERABLE SPECIFICATION, ITS OWN PROFESSIONAL CAPABILITY AND INDEPENDENCE, AND THE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

note the item in the verification file (e.g., minor wording ambiguity in scope) and continue; resolve by clarification before the letter issues

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

place the acceptance on hold, escalate to the Supervising Licensed Professional, and resolve before the engagement letter is executed (e.g., unclear deliverable standard, terms outside policy, capability gap)

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

an unwaivable conflict of interest, a request to perform work outside the firm's licensure/jurisdiction, or a request implicating client-data handling the firm cannot secure

ACTION

decline or halt acceptance immediately and notify the Supervising Licensed Professional and Operations Manager; do not issue an engagement letter

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Scope and deliverable specification confirmed in writing by the requester.
- Conflict/independence check completed and cleared (or waived per policy) before decision.
- Commercial terms verified against standard policy and captured in the engagement letter.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Request package complete (party, service, outputs, materials)		
Scope confirmed in writing with requester		
Deliverable specification and acceptance criteria documented		
Conflict-of-interest / independence check cleared		
Firm licensure and subject-matter capability confirmed		
Client-data handling on firm/hosted systems verified secure		
Commercial terms and engagement letter complete and signed		

11. KPIs

- Engagements accepted with a signed engagement letter before work start: ≥ 99%.
- Conflict/independence check completed prior to acceptance decision: 100%.
- Post-acceptance scope disputes traceable to incomplete verification: ≤ 2% of accepted engagements.

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-008 — Job Scheduling & Sequencing

Estimated completion time: 30–60 minutes per scheduling cycle (daily or per intake batch)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To place accepted client engagements into the operating schedule in an order that honors contractual due dates, statutory or filing deadlines, and matter priority — ensuring committed work is sequenced for on-time delivery and that no deadline-sensitive matter is left unscheduled.

2. Scope

Covers the intake of accepted work items into the operating schedule, priority ranking, deadline mapping, and sequencing against available scheduling windows for all service lines in the Operations Department. Excludes assignment of specific staff or resources to scheduled work, which is covered under OD-009; excludes maintenance/downtime scheduling of shared systems, which is covered under PM-008.

3. Responsibilities

- Operations Scheduler — builds and maintains the operating schedule, sequences accepted work against priority and due dates, flags conflicts.
- Engagement Coordinator — confirms accepted-work parameters (scope, committed dates, client priority) and communicates schedule commitments to clients.
- Supervising Licensed Professional — approves priority overrides, resolves deadline conflicts, and authorizes sequencing exceptions on regulated or deadline-critical matters.

4. Required PPE & Lockout/Tagout

- Standard facility PPE; none specific to this administrative task.
- Not applicable — no hazardous energy involved. Access controls apply to the scheduling system of record in lieu of lockout/tagout.

5. Regulatory References

- None sector-specific to job scheduling as an activity; internal policy applies. Scheduling must nonetheless preserve compliance with each service line's governing deadline and confidentiality obligations — e.g., professional-conduct diligence and client-communication duties under the applicable state licensing board rules, IRS Circular 230 diligence for tax/payroll preparers, and record-retention/confidentiality commitments in client engagement agreements. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Retrieve the queue of accepted work items released from intake, confirming each carries a defined scope, committed delivery date, and client/matter identifier.
2. For each item, record all binding dates: contractual due date, any statutory or filing deadline, and internal review milestones; flag the earliest hard deadline as the controlling date.
3. Assign a priority tier (Critical / High / Standard) using deadline proximity, regulatory exposure, and documented client-priority commitments; escalate any tie or ambiguity to the Supervising Licensed Professional.
4. Sequence items into available scheduling windows earliest-controlling-date first, reserving buffer for review/QA before each controlling date.
5. Check for capacity conflicts and overlapping controlling dates; do not resolve by staff assignment (that is OD-009) — mark unresolvable overlaps as scheduling conflicts.
6. Confirm proposed sequence with the Engagement Coordinator so client commitments and any dependency handoffs are validated before posting.
7. Post the finalized schedule to the system of record and notify affected roles of their scheduled windows.
8. Document the scheduling decision, priority rationale, and any conflicts/overrides in the scheduling log with date and author.

8. Decision Tree

OD-008 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Job Scheduling & Sequencing

START — TO PLACE ACCEPTED CLIENT ENGAGEMENTS INTO THE OPERATING SCHEDULE IN AN ORDER THAT HONORS CONTRACTUAL DUE DATES, STATUTORY OR FILING DEADLINES, AND MATTER PRIORITY — ENSURING COMMITTED WORK IS SEQUENCED …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

e.g., a Standard-tier item with slack in its window; log it in the scheduling log and continue sequencing

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

e.g., a capacity conflict or ambiguous priority that risks a soft due date; hold the affected item out of the posted schedule, escalate to the Supervising Licensed Professional, and resolve the sequencing before the schedule is finalized

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a statutory or filing deadline (e.g., a tax filing, court/recording, or payroll-remittance deadline) cannot be met under any feasible sequence

ACTION

immediately notify the Supervising Licensed Professional and Engagement Coordinator, freeze posting of the affected item, and trigger deadline-mitigation/client-notification before any dependent work proceeds

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every accepted item has a recorded controlling date and priority tier before sequencing.
- Each Critical/High item has adequate review buffer before its controlling date.
- Posted schedule reconciles to the accepted-work queue with no orphaned or unscheduled items.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
All accepted work items pulled from intake queue		
Controlling due/statutory dates recorded for each item		
Priority tier assigned and justified		
Sequence honors earliest controlling dates with review buffer		
Capacity/deadline conflicts flagged and dispositioned		
Schedule confirmed with Engagement Coordinator		
Schedule posted and scheduling log updated		

11. KPIs

- On-time delivery against controlling due dates ≥ 98%
- Accepted items scheduled within one business day of intake release ≥ 95%
- Unresolved scheduling conflicts at posting = 0

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-009 — Resource & Capacity Allocation

Estimated completion time: 30–60 minutes per allocation cycle (per engagement or per weekly planning window)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To match scheduled client engagements against the firm's real, confirmed supply of qualified personnel, workstations and secured space, and licensed/hosted computing capacity — so that committed work is only booked against capacity that genuinely exists, preventing over-allocation, credential mismatches, and confidentiality conflicts.

2. Scope

Covers the assignment of practitioners, physical/remote workspace, and equipment or hosted computing seats to already-scheduled work, plus verification that each allocated resource is truly available and appropriately credentialed for the engagement. Excludes whether a person is present or on shift (staffing presence — see OD-003) and the ordering/sequencing of scheduled tasks (schedule sequence — see OD-008).

3. Responsibilities

- Operations Resource Coordinator — builds the allocation plan, checks capacity against the resource register, and flags conflicts or shortfalls.
- Supervising Licensed Professional — confirms that assigned personnel hold the credentials and clearances required for each engagement and approves the final allocation.
- IT/Systems Administrator — confirms availability of workstations, seat licenses, and hosted-system capacity from the firm's software and hosting providers before work is booked against them.

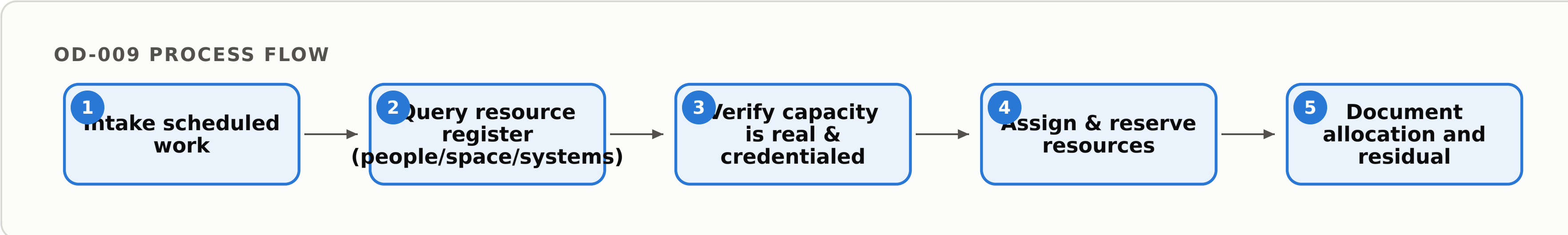
4. Required PPE & Lockout/Tagout

- Standard facility PPE only (none task-specific); where a service line operates field visits or vehicles, follow that line's field-safety rules.
- Not applicable — no hazardous energy involved. "Lockout" equivalent for this task is access control: engagement data and client files must remain access-restricted to allocated, credentialed personnel only.

5. Regulatory References

- None sector-specific to resource allocation itself; internal capacity-planning and confidentiality policy applies. Governing common obligations include the applicable state licensing board's rules on competence and supervision of assigned personnel, professional confidentiality/duty-of-care obligations owed to clients (e.g., engagement-confidentiality and conflict-of-interest rules that bind every licensed professional service line), and contractual data-protection/security terms with hosting providers. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Pull the list of scheduled engagements requiring allocation for the planning window (do not re-sequence — sequence is fixed per OD-008).
2. For each engagement, identify required resource types: qualified personnel (by credential/skill), workspace (secured office, meeting/collaboration space, or approved remote setup), and computing capacity (workstation, seat license, hosted-system capacity).
3. Query the resource register for nominal availability of each resource type over the engagement dates.
4. Verify capacity is REAL: confirm assigned personnel are not already committed elsewhere and hold the credential/clearance the engagement requires; confirm the IT/Systems Administrator has an available seat license and hosted-system headroom (not merely a purchased-but-consumed license); confirm the space is not double-booked.
5. Confirm no confidentiality or conflict-of-interest barrier prevents an assigned person or shared workspace from serving the engagement; route any conflict to the Supervising Licensed Professional.
6. Reserve confirmed resources in the register, decrementing available capacity, and mark residual capacity for each resource type.
7. Obtain Supervising Licensed Professional approval of the final allocation for credential and confidentiality adequacy.
8. Record the allocation, confirmations, and any unresolved shortfalls in the resource register / allocation log with date and approver.

8. Decision Tree

OD-009 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Resource & Capacity Allocation

START — TO MATCH SCHEDULED CLIENT ENGAGEMENTS AGAINST THE FIRM'S REAL, CONFIRMED SUPPLY OF QUALIFIED PERSONNEL, WORKSTATIONS AND SECURED SPACE, AND LICENSED/HOSTED COMPUTING CAPACITY — SO THAT COMMITTED WORK IS …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION
no safety, compliance, or service impact

ACTION
log the conflict (e.g., minor space swap, license reassignment) in the allocation log and continue; notify the Operations Resource Coordinator

ESCALATE TO
No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION
material risk to safety, compliance, output, or service — not an immediate hazard

ACTION
hold the affected allocation, do not book work against unconfirmed capacity, escalate to the Supervising Licensed Professional, and resolve the shortfall or credential gap before the engagement proceeds

ESCALATE TO
Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION
a person, shared workspace, or shared system is allocated across a client conflict-of-interest boundary or exposes confidential client data to unauthorized personnel, or committed client work has no real qualified capacity to deliver

ACTION
immediately suspend the allocation, restrict access, and notify the Supervising Licensed Professional and, where confidentiality is breached, compliance counsel

ESCALATE TO
Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every allocated resource verified as truly available (not merely nominally listed) before booking.
- Every assigned person confirmed credentialed and conflict-free for the engagement.
- Computing/hosted capacity confirmed with IT/Systems Administrator as available headroom, not consumed capacity.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
All scheduled engagements have required resource types identified		
Personnel availability verified against existing commitments		
Assigned personnel credentials/clearances confirmed for engagement		
Workspace confirmed not double-booked		
Seat licenses / hosted-system capacity confirmed available with IT		
No conflict-of-interest or confidentiality barrier on shared resources		
Allocation and residual capacity recorded with approver sign-off		

11. KPIs

- Allocation confirmation accuracy (booked capacity that proved real at delivery) ≥ 98%.
- Over-allocation incidents (resource committed beyond real capacity) ≤ 1 per planning cycle.
- Credential/conflict mismatches reaching an engagement 0.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-010 — Incoming Material / Supply Verification

Estimated completion time: 20–45 minutes per delivery

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure defines how Operations staff confirm that inbound materials and supplies — client-provided source records, IT hardware, licensed software, and office consumables — match the originating order in identity, quantity, and condition before they are accepted and released into active work. Accurate verification protects client confidentiality, prevents billing and inventory disputes, and ensures the firm holds only what it is authorized to hold.

2. Scope

Covers receipt-point verification of all inbound deliveries to a Professional Services office against the purchase order, engagement instruction, or transmittal — including order-match, quantity reconciliation, and visible-condition assessment. Excludes spec-conformance/functional testing (covered under QC-003), physical dock counting (covered under SH-008), and shelving or asset putaway (covered under WH-006).

3. Responsibilities

- Receiving Coordinator (Operations) — performs the order-match, quantity, and condition verification; completes the checklist and logs the receipt.
- Operations Supervisor — reviews flagged discrepancies, authorizes acceptance or rejection, and signs off verification.
- Supervising Licensed Professional — determines disposition of any incoming client material where confidentiality, chain-of-custody, or regulatory retention obligations may be affected.

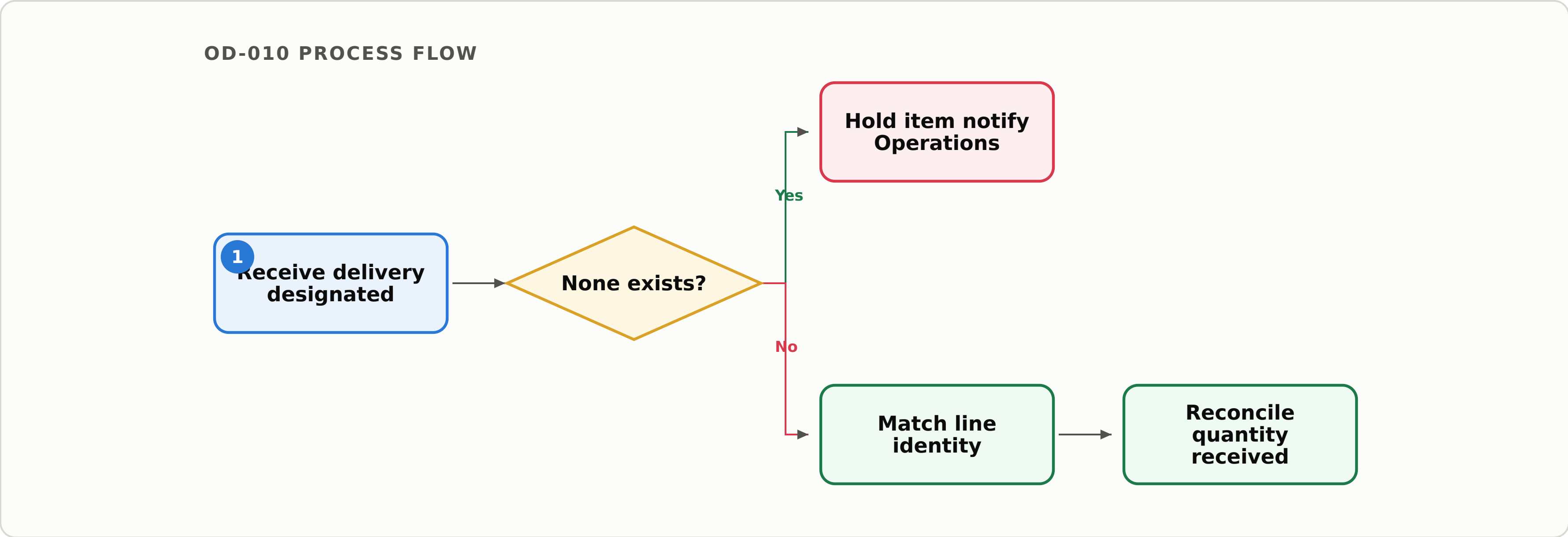
4. Required PPE & Lockout/Tagout

- Standard facility PPE only; clean, dry hands and a designated intake surface. Gloves optional when handling dusty or damaged parcels.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific to material receiving; internal procurement and records-control policy governs. Applicable cross-cutting obligations include the firm's client-confidentiality and data-protection duties (e.g., state client-record and privacy statutes), software license terms for received licensed products, and OSHA 29 CFR 1910.22 (general walking-working surfaces) at the receiving point. Member-specific regimes (e.g., IRS Pub. 4557 safeguards for tax preparers, or state licensing-board recordkeeping rules for the applicable profession) apply only to those members. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Receive the delivery at the designated intake point and confirm the addressee/engagement is served by this office; refuse misrouted parcels.
2. Retrieve the governing purchase order, engagement transmittal, or packing list; if none exists, hold the item and notify the Operations Supervisor.
3. Match line identity against the order — for IT hardware and licensed software verify make, model, part/license number and seat count; for client-provided records verify the transmittal item list and file identifiers.
4. Reconcile quantity received against quantity ordered; note over-, under-, or partial shipments without opening sealed confidential envelopes beyond what is authorized.
5. Assess visible external condition — crushing, moisture, tamper evidence, broken seals; for client records confirm the confidentiality seal/chain-of-custody wrap is intact.
6. Confirm required accompanying documents are present (invoice, license certificate, custody transmittal, or media inventory).
7. Assign a disposition — Accept, Hold (pending discrepancy resolution), or Reject — and apply a receipt reference/label; route accepted items to putaway per WH-006.
8. Record the receipt in the intake log with date, source, order reference, quantities, condition, disposition, and verifier name; retain per the firm's record-retention schedule.

8. Decision Tree

OD-010 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Incoming Material / Supply Verification

START — THIS PROCEDURE DEFINES HOW OPERATIONS STAFF CONFIRM THAT INBOUND MATERIALS AND SUPPLIES — CLIENT-PROVIDED SOURCE RECORDS, IT HARDWARE, LICENSED SOFTWARE, AND OFFICE CONSUMABLES — MATCH THE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

e.g., minor packaging scuff or a non-critical consumable short by one unit; log it in the intake record, note the variance to the vendor, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

e.g., quantity/model mismatch on IT hardware or licensed software, or missing license documentation; place the item on Hold in a segregated intake area, escalate to the Operations Supervisor, and resolve with the supplier before the item is released to work

ESCALATE TO

Operations Supervisor

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

broken confidentiality seal, tamper evidence, or wrong client's records/media received — potential breach of client confidentiality or chain-of-custody

ACTION

do not open further; isolate and secure the item immediately, notify the Operations Supervisor and the Supervising Licensed Professional at once, and follow the firm's incident/breach-notification protocol before any further handling

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every received item is matched to a valid order, transmittal, or license before acceptance.
- Quantity received reconciles to quantity ordered, with variances documented.
- Confidentiality seals and chain-of-custody wraps confirmed intact on client materials.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Delivery matches addressed engagement/office		
Order / transmittal / license reference located		
Item identity matches order (model / part / file ID)		
Quantity reconciles to ordered amount		
External condition intact (no crush / moisture / tamper)		
Confidentiality seal / custody wrap intact		
Accompanying documents present and complete		

11. KPIs

- Order-match accuracy at receipt ≥ 99%.
- Receipts logged within one business day of arrival ≥ 98%.
- Unresolved confidentiality/tamper (Critical) findings = 0.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

Phase 3 — Execution

OD-011 — Standard Work Execution & Process Adherence

Estimated completion time: 20–45 minutes per engagement or work package review

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To ensure that client-facing and internal professional work is performed to the firm's documented method — the standardized engagement workflow, checklists, and templates — so that output is consistent, defensible, and traceable, and any departure from the defined method is identified and recorded.

2. Scope

Covers execution of standardized work steps against the approved engagement/work-package method and the identification and logging of process deviations across all Operations service lines. Excludes in-process quality/deliverable checks, which are covered under QC-007, and safe-work method, which is covered under SD-005.

3. Responsibilities

- Assigned Professional Staff — performs the work strictly to the defined method, records progress against the workflow, and flags any deviation at the point it occurs.
- Operations Team Lead — confirms the correct method version is in use, reviews logged deviations, and authorizes minor course corrections within scope.
- Supervising Licensed Professional — owns method integrity, dispositions Major/Critical deviations, and signs off before client-facing release.

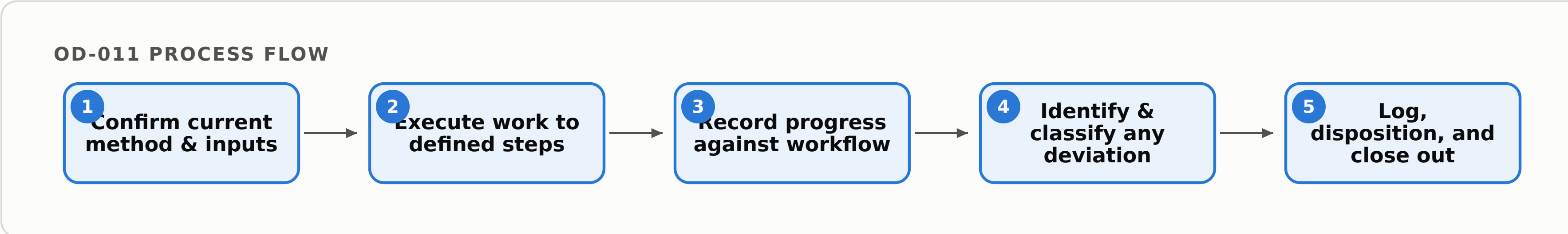
4. Required PPE & Lockout/Tagout

- Standard facility PPE (office environment); where a service line performs field site visits, follow site-host PPE requirements.
- Not applicable — no hazardous energy involved. Information-security controls (access credentials, secured workstations, and hosted-environment logins) govern in place of physical LOTO.

5. Regulatory References

- None sector-specific to a single member; internal policy (documented method, engagement letter terms, and firm confidentiality policy) applies across the span. Applicable cross-member frames: the applicable state licensing board's rules of professional conduct and competence/diligence requirements; contractual scope-of-work and professional-standard-of-care obligations; and data-protection/breach-notification obligations governing client information (e.g., applicable state privacy statutes, and for tax service lines IRS Pub. 4557 safeguarding duties). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Open the engagement/work package and confirm the method version, template, and checklist in use is the current approved revision.
2. Verify required inputs are present and authorized: client instructions, source files, licensed software/hosted-environment access, and prior-stage sign-offs.
3. Execute each defined work step in sequence, using the approved template and firm tools; do not substitute an ad-hoc method for the documented one.
4. At each step, record completion status and time against the workflow record.
5. Where the defined step cannot be followed as written, stop at that step and identify the deviation (missing input, unclear instruction, tool/data unavailability, or scope change).
6. Classify the deviation per Section 8 and route accordingly; obtain authorization before applying any course correction.
7. Complete remaining steps only once the deviation is dispositioned.
8. Document the outcome, all deviations, and dispositions in the engagement record and retain per the firm retention schedule.

8. Decision Tree

OD-011 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Standard Work Execution & Process Adherence

START — TO ENSURE THAT CLIENT-FACING AND INTERNAL PROFESSIONAL WORK IS PERFORMED TO THE FIRM'S DOCUMENTED METHOD — THE STANDARDIZED ENGAGEMENT WORKFLOW, CHECKLISTS, AND TEMPLATES — SO THAT OUTPUT IS CONSISTENT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log the deviation in the engagement record, apply the Team Lead-authorized correction, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

hold the affected work package, escalate to the Supervising Licensed Professional named in Section 3, and resolve/re-authorize the method before proceeding

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

unauthorized deviation that produces a defensibly non-compliant deliverable released to a client, a missed statutory/filing deadline, or exposure of confidential client data

ACTION

stop all work on the engagement immediately, notify the Supervising Licensed Professional and firm compliance lead the same business day, and initiate containment and client-notification review before any further action

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Current approved method version confirmed before execution begins.
- All required inputs and authorizations present at start.
- Every deviation logged with classification and disposition.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Correct method/template revision in use		
Required inputs and access verified		
Work steps executed in defined sequence		
Progress recorded against workflow		
Deviations identified and classified		
Dispositions authorized by named role		
Engagement record complete and retained		

11. KPIs

- Method-adherence rate (steps completed as defined) ≥ 98%
- Deviations logged at point of occurrence ≥ 95%
- Unresolved Critical deviations at close-out = 0

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-012 — Work-in-Progress Tracking & Status Update

Estimated completion time: 15–30 minutes per update cycle (daily or per milestone, depending on engagement volume)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To ensure the current status of every active client engagement (matter, file, project, or job) is recorded accurately and visible to the responsible team, so that deadlines, dependencies, and client commitments are tracked without gaps as work moves through the professional services workflow.

2. Scope

Covers the recording, updating, and visibility of work-in-progress status across all active engagements in the practice-management or project-tracking system, from intake through delivery hand-off. Excludes throughput measurement and cycle-time analytics (covered under OD-014) and quality/deliverable-conformance data (covered under QC-027).

3. Responsibilities

- Operations Coordinator — maintains the WIP register, enters and reconciles status changes, and confirms every active engagement carries a current status at each update cycle.
- Engagement Owner (assigned Licensed or Senior Professional) — supplies accurate status, flags blockers and milestone completions, and validates that recorded status reflects actual work state.
- Operations Supervisor — reviews the WIP board for stale, missing, or conflicting entries and escalates unresolved items per the decision tree.

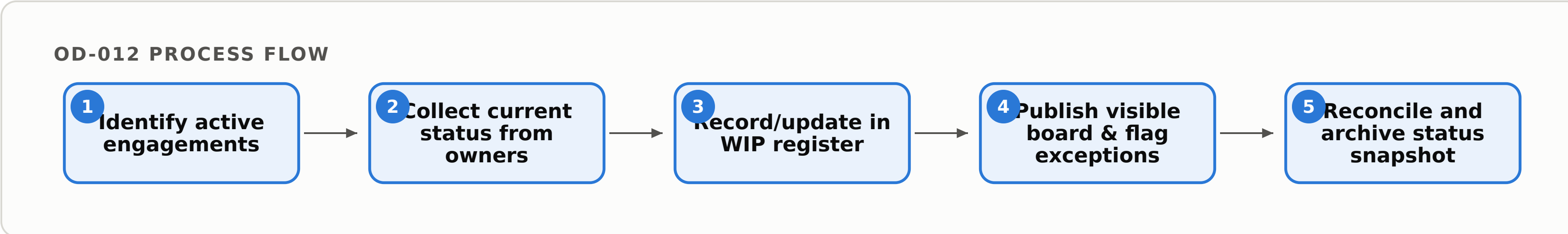
4. Required PPE & Lockout/Tagout

- Standard facility PPE only; no task-specific protective equipment required (office/administrative task).
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific to status-tracking as an activity; internal policy governs the WIP register format, update cadence, and access controls. - Applicable across the span: confidentiality and safeguarding of client information within status records under each firm's professional duty of confidentiality (e.g., state licensing-board confidentiality rules for the relevant profession); data-security and breach-notification obligations for status data held with third-party hosting providers under applicable state data-protection statutes; and, where personally identifiable client/financial data appears in status fields, the FTC Act §5 (16 CFR) prohibition on unfair or deceptive handling of such data. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Pull the list of all active engagements from the practice-management or project-tracking system; confirm each has an assigned Engagement Owner.
2. For each engagement, obtain the current status, current phase/milestone, and next action from the Engagement Owner (via standup, system update, or check-in).
3. Record status against the standard fields: engagement ID, phase, % or milestone reached, next deadline, blocker/hold flag, and last-updated timestamp.
4. Flag any engagement with no status change beyond the defined staleness threshold (e.g., 3 business days) or with a missing owner.
5. Update the shared WIP board so status is visible to the responsible team; confirm access is limited to authorized personnel to preserve client confidentiality.
6. Reconcile conflicting or duplicate entries with the Engagement Owner before finalizing.
7. Escalate exceptions (stale, blocked, or missing entries) per Section 8.
8. Save a dated status snapshot to the engagement record and log the update cycle as complete with the coordinator's initials and timestamp.

8. Decision Tree

Decision Tree — Work-in-Progress Tracking & Status Update

START — TO ENSURE THE CURRENT STATUS OF EVERY ACTIVE CLIENT ENGAGEMENT (MATTER, FILE, PROJECT, OR JOB) IS RECORDED ACCURATELY AND VISIBLE TO THE RESPONSIBLE TEAM, SO THAT DEADLINES, DEPENDENCIES, AND …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Correct the entry in the WIP register, note the correction, and continue the update cycle

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance or service — e.g., an active engagement with no recorded status, a missed or imminent client deadline not flagged, or a confidentiality-scope entry visible to unauthorized users; not an immediate hazard

ACTION

Hold the affected engagement's status as unverified, escalate to the Operations Supervisor named in Section 3, and resolve before the update cycle is closed

ESCALATE TO

Operations Supervisor named in Se

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a WIP status record exposes confidential client information to unauthorized parties, or a tracking failure causes a statutory/filing/contractual deadline to lapse

ACTION

Immediately restrict access to the affected record, notify the Operations Supervisor and Engagement Owner, and invoke the firm's confidentiality/incident and missed-deadline remediation process at once

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every active engagement has a status entry updated within the defined cadence.
- Each entry carries an assigned owner, current phase, and next deadline.
- WIP board access is confined to authorized personnel; no confidentiality breach in visible fields.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
All active engagements appear in the WIP register		
Each engagement has an assigned Engagement Owner		
No status entry exceeds the staleness threshold		
Next deadline recorded for every open engagement		
Blocker/hold flags reviewed and current		
Board visibility limited to authorized personnel		
Dated status snapshot saved to engagement record		

11. KPIs

- Status currency: ≥ 98% of active engagements updated within the defined cadence each cycle.
- Owner coverage: 100% of active engagements carry a named Engagement Owner.
- Stale-entry rate: < 2% of active engagements exceeding staleness threshold at cycle close.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-013 — Operational Handoff Between Work Stages

Estimated completion time: 15–40 minutes per handoff

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1. Purpose

To ensure that client work products, engagement files, and their supporting context transfer cleanly between successive work stages, crews, or shifts so that no scope item, deadline, or client instruction is lost or duplicated during the transition.

2. Scope

Covers the controlled transfer of an active engagement or matter from one work stage or responsible team to the next — including the deliverable state, open action items, client-supplied inputs, and system access — within an Operations service line. Excludes shift-personnel handover logistics (covered under OD-002) and stage quality release/sign-off (covered under QC-013); this procedure only confirms the handoff record, not the quality gate itself.

3. Responsibilities

- Releasing Work-Stage Owner — assembles the handoff package, confirms deliverable state and open items, and certifies completeness at release.
- Receiving Work-Stage Owner — verifies received inputs, access, and instructions against the handoff record before accepting the work.
- Operations Coordinator — logs the handoff, resolves discrepancies between releasing and receiving owners, and escalates unresolved items per Section 8.

4. Required PPE & Lockout/Tagout

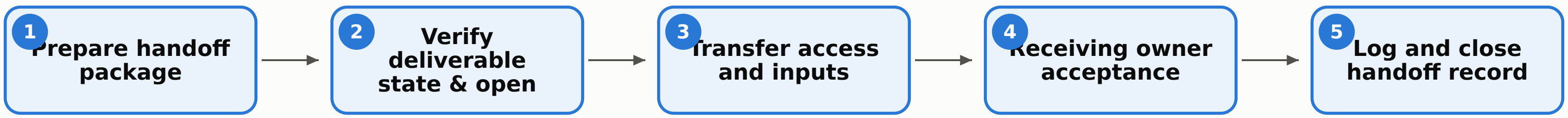
- Standard facility PPE; none beyond ordinary office/workstation conditions. Where a service line operates vehicles or performs on-site field work, apply that site's PPE rules.
- Not applicable — no hazardous energy involved. Digital equivalent: revoke or reassign system credentials and matter access at handoff so no stage retains stale write access.

5. Regulatory References

- None sector-specific to this coordination task; internal engagement-management and confidentiality policy applies. Cross-cutting obligations that bear on any transferred matter include applicable state licensing-board rules of professional conduct and confidentiality, FTC Act §5 (unfair/deceptive practices), IRS Pub. 4557 / Gramm-Leach-Bliley Safeguards Rule where client financial data is handled, and each applicable state licensing board's continuity-of-service and record-retention requirements (e.g., CPA, notary, or design-professional boards). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

OD-013 PROCESS FLOW



7. Step-by-Step Procedure

1. Releasing Work-Stage Owner identifies the matter/engagement being transferred and the exact stage boundary (what is done, what is next).
2. Compile the handoff package: current deliverable version, client-supplied inputs, open action items, deadlines, and any conditional client instructions.
3. Confirm deliverable state is at a stable checkpoint (last saved version identified; no in-progress edits pending) and note any unfinished items explicitly.
4. Transfer or reassign system access, matter files, and licensed-software/workstation credentials to the Receiving Work-Stage Owner; revoke access no longer required by the releasing stage.
5. Receiving Work-Stage Owner reviews the package against the handoff record and confirms each input, access grant, and open item is present and understood.
6. Reconcile discrepancies with the Operations Coordinator; do not begin next-stage work until every listed item is accepted or formally flagged as pending.
7. Both owners record acceptance (or exceptions) in the handoff log with timestamp and responsible names.
8. Operations Coordinator files the completed handoff record in the engagement's matter file per internal retention policy.

8. Decision Tree

Decision Tree — Operational Handoff Between Work Stages

START — TO ENSURE THAT CLIENT WORK PRODUCTS, ENGAGEMENT FILES, AND THEIR SUPPORTING CONTEXT TRANSFER CLEANLY BETWEEN SUCCESSIVE WORK STAGES, CREWS, OR SHIFTS SO THAT NO SCOPE ITEM, DEADLINE, OR CLIENT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log it in the handoff record and continue; note for follow-up by the Receiving Work-Stage Owner

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

hold the affected matter at the stage boundary, escalate to the Operations Coordinator, and resolve the missing input, access gap, or unclear instruction before the receiving stage proceeds

ESCALATE TO

Operations Coordinator

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a confidential client file, deliverable, or credential is transferred to the wrong party, lost, or left without owner across a deadline, risking breach of confidentiality or a missed statutory/client due date

ACTION

immediately suspend the handoff, secure/revoke affected access, and notify the Operations Coordinator and Supervising Licensed Professional for containment and client-notification assessment

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Deliverable state confirmed at a stable, identified version before release.
- All open action items and client instructions carried into the handoff record.
- System access reassigned correctly and stale access revoked.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Matter/engagement and stage boundary correctly identified		
Deliverable current version documented		
Client-supplied inputs accounted for		
Open action items and deadlines listed		
System/software access reassigned; stale access revoked		
Receiving owner acceptance recorded		
Handoff record filed in matter file		

11. KPIs

- Handoff completeness (packages accepted without post-handoff missing items): ≥ 98%
- Handoff records logged within one business day of transfer: 100%
- Critical handoff incidents (misrouted/lost file or missed-deadline gap): 0 per quarter

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-014 — Output Monitoring & Throughput Review

Estimated completion time: 30–60 minutes per review cycle (typically weekly)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To monitor the rate and volume of billable and client-facing work product (engagements, matters, deliverables, filings) against the operating plan so that Operations can detect throughput drift early and reallocate professional and support capacity before commitments slip.

2. Scope

Covers the periodic measurement of completed and in-progress output against planned volume/rate across active service lines, using the firm's practice-management and time/billing systems. Excludes KPI definition and review (OD-028) and process capability analysis (QC-026); this procedure only tracks output volume and rate against plan and flags variance.

3. Responsibilities

- Operations Manager — owns the review cadence, confirms plan targets, and approves any capacity reallocation arising from variance.
- Workflow/Intake Coordinator — compiles output and backlog data from the practice-management system and prepares the variance summary.
- Supervising Licensed Professional — validates that output counts reflect genuinely completed, quality-cleared work and authorizes escalation where compliance or client commitments are at risk.

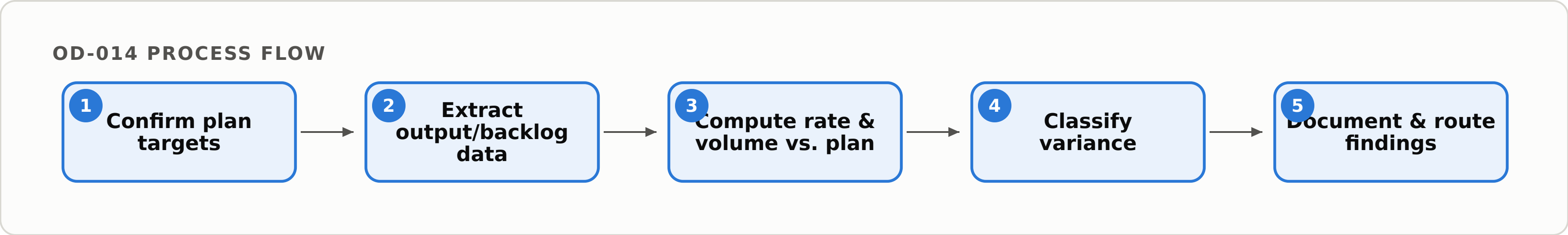
4. Required PPE & Lockout/Tagout

- Standard office PPE; no specialized protective equipment required for this administrative task.
- Not applicable — no hazardous energy involved. Access controls: restrict throughput dashboards to authorized personnel to protect client confidentiality.

5. Regulatory References

- None sector-specific to throughput monitoring; internal Operations policy applies. Adjacent obligations that shape how output data is handled include client-confidentiality and file-retention duties under each member's applicable state licensing board or professional-conduct rules (e.g., state bar rules for law offices, AICPA/state-board standards for CPA firms, notary journal-retention statutes), and general recordkeeping obligations under applicable federal and state law. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Confirm the current-period output plan (target volume and rate by service line) with the Operations Manager.
2. Extract completed-output and in-progress counts from the practice-management/time-and-billing system for the review period, hosted per the firm's data-processing provider (518210).
3. Verify data integrity — reconcile system counts against engagement/matter status and remove duplicate or misclassified records.
4. Compute actual volume and throughput rate per service line and compare against plan; calculate variance percentage.
5. Identify aging or stalled items (deliverables past target turnaround) and quantify backlog carried forward.
6. Have the Supervising Licensed Professional confirm that counted output reflects quality-cleared, deliverable work — not merely opened matters.
7. Classify any variance per the Decision Tree and route accordingly.
8. Document the review, variance figures, findings, and actions taken in the Operations throughput log; retain per firm records policy.

8. Decision Tree

OD-014 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Output Monitoring & Throughput Review

START — TO MONITOR THE RATE AND VOLUME OF BILLABLE AND CLIENT-FACING WORK PRODUCT (ENGAGEMENTS, MATTERS, DELIVERABLES, FILINGS) AGAINST THE OPERATING PLAN SO THAT OPERATIONS CAN DETECT THROUGHPUT DRIFT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Note the minor variance in the throughput log and continue; monitor at next cycle

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

Hold the affected service line's capacity plan, escalate to the Operations Manager with the variance summary, and resolve the reallocation before the next work assignment cycle proceeds

ESCALATE TO

Operations Manager with the varia

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

sustained throughput shortfall threatens a statutory/court/filing deadline or contractual client commitment (e.g., missed filing window or regulatory submission date)

ACTION

Immediately notify the Operations Manager and the Supervising Licensed Professional, trigger emergency reprioritization of the at-risk deliverable, and log the incident before any other review activity continues

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Plan targets confirmed and current before data is compared.
- Extracted output counts reconciled to system-of-record status with duplicates removed.
- Counted output validated as quality-cleared deliverable work by the Supervising Licensed Professional.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Current-period plan targets confirmed for all active service lines		
Output/backlog data extracted for the correct review period		
Duplicate/misclassified records removed before computation		
Variance vs. plan computed per service line		
Aging/stalled deliverables identified and quantified		
Deadline-sensitive items flagged and escalated where at risk		
Review documented in throughput log with actions recorded		

11. KPIs

- Throughput vs. plan variance within ±10% per service line per cycle.
- On-time review completion: 100% of scheduled cycles completed on cadence.
- Deadline-critical backlog: zero items past client/statutory turnaround at cycle close.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-015 — Bottleneck Identification & Response

Estimated completion time: 45–90 minutes per review cycle; escalation handling variable

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure establishes a repeatable method for detecting constraints that slow the flow of client engagements — such as stalled deliverable review, matter backlogs, or degraded shared systems — and for triggering a proportionate response so throughput and client-commitment dates are protected.

2. Scope

Covers detection, classification, and initial response to operational bottlenecks in the engagement workflow across all service lines of the firm. Excludes schedule changes, which are covered under OD-017, and capacity allocation, which is covered under OD-009.

3. Responsibilities

- Operations Coordinator — monitors workflow queues and cycle-time signals, logs suspected bottlenecks, and runs the initial triage in this procedure.
- Supervising Licensed Professional — confirms classification, authorizes containment of affected work, and owns resolution decisions that touch client obligations.
- IT/Systems Administrator — diagnoses and responds to constraints originating in shared computing hardware or hosted platforms.

4. Required PPE & Lockout/Tagout

- Standard facility PPE; none beyond ordinary office conditions.
- Not applicable — no hazardous energy involved. For constraints traced to shared IT systems, apply logical access controls (freeze affected workflow states) rather than physical lockout.

5. Regulatory References

- None sector-specific to bottleneck management; internal practice-management policy applies. General obligations that shape any response include client-confidentiality and record-retention duties imposed by the applicable state licensing board or professional-conduct rules governing each service line (e.g., state CPA board record rules, state bar client-file rules, IRS Circular 230 for federal tax practice), and data-safeguard expectations under the FTC Act §5 for handling client data on hosted systems. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. At the start of each review cycle, pull current workflow-queue status and cycle-time metrics for open engagements from the practice-management system.
2. Compare actual stage dwell-times against baseline turnaround targets for each service line; flag any stage where work-in-progress or wait-time exceeds the baseline threshold.
3. Confirm the flag is a genuine constraint (not a one-off) by checking whether inbound work is arriving faster than a stage can clear it, or whether a resource — reviewer, licensed signatory, or shared system — is unavailable.
4. Identify the source: personnel/review capacity, information dependency (awaiting client input or third-party records), or systems (computing hardware or hosted platform degradation).
5. Classify severity using Section 8 and record the classification and evidence in the bottleneck log.
6. Apply the proportionate response — reroute within existing capacity, contain affected work, or escalate — coordinating any schedule impact through OD-017 without authoring it here.
7. Re-measure the affected stage after the response to confirm flow has been restored to within the baseline threshold.
8. Document the finding, response, owner, and verification result in the bottleneck log and close out or escalate as appropriate.

8. Decision Tree

OD-015 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Bottleneck Identification & Response

START — THIS PROCEDURE ESTABLISHES A REPEATABLE METHOD FOR DETECTING CONSTRAINTS THAT SLOW THE FLOW OF CLIENT ENGAGEMENTS — SUCH AS STALLED DELIVERABLE REVIEW, MATTER BACKLOGS, OR DEGRADED SHARED SYSTEMS — …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Log the constraint in the bottleneck log, note the workaround, and continue the review cycle

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

Hold or contain the affected engagements at the constrained stage, escalate to the Supervising Licensed Professional named in Section 3, and resolve the constraint before the affected work proceeds

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a constraint threatens breach of a statutory or court/regulatory client deadline, or a shared-systems failure exposes confidential client data or blocks all delivery

ACTION

Immediately contain affected work, notify the Supervising Licensed Professional and IT/Systems Administrator at once, and invoke client-notification and continuity procedures before any further processing

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

No finding — Activity stands. Complete the checklist and continue.

Minor — Handled in place at task level; no escalation.

Major — Supervisory decision required before the next stage.

Critical — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every flagged constraint has a recorded source classification and severity level.
- Containment of Major/Critical items is confirmed before affected work advances.
- Post-response re-measurement confirms the stage is within baseline threshold.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Workflow-queue and cycle-time data pulled for all open engagements		
Constraints exceeding baseline threshold flagged and confirmed		
Source (personnel / information / systems) identified for each flag		
Severity classified per Section 8 and logged		
Major/Critical items contained and escalated to named role		
Affected stage re-measured and confirmed within threshold		
Bottleneck log updated with owner and outcome		

11. KPIs

- Mean detection lag (constraint onset to log entry): ≤ 1 business day.
- Major/Critical constraints contained and escalated within 4 business hours of confirmation: ≥ 95%.
- Engagements meeting committed turnaround date despite an identified constraint: ≥ 90%.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-016 — Rework & Nonconforming Work Handling

Estimated completion time: 30–90 minutes per nonconforming deliverable, excluding re-run production time

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To segregate, contain, and re-run professional work product (client deliverables, filings, reports, drawings, code, or processed data) that fails to meet engagement specifications or internal quality standards, so that no nonconforming output reaches the client and the corrected version is traceable.

2. Scope

Covers identification, segregation, containment, and re-execution of nonconforming work product within the Operations Department across the engagement lifecycle. Excludes formal disposition decisions (accept/reject/waiver), which are covered under QC-014, and rework authorization sign-off, which is covered under QC-016.

3. Responsibilities

- Operations Coordinator — identifies and segregates nonconforming work product, tags it in the workflow/matter management system, and initiates the rework record.
- Supervising Licensed Professional — reviews the nonconformance, confirms the corrective scope, and validates the re-run deliverable against engagement specifications before release.
- Quality Assurance Reviewer — verifies containment of affected versions, confirms root-cause notes are logged, and confirms zero unresolved Critical findings prior to closeout.

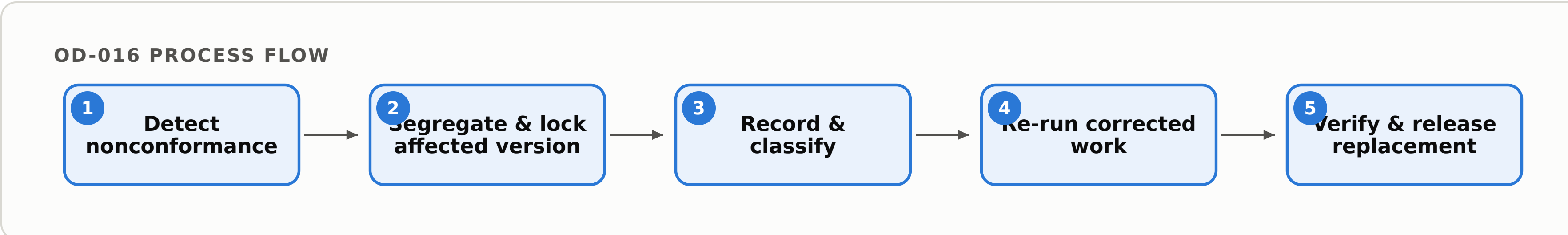
4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond ordinary office/workstation conditions); where a service line operates field or site-visit work, use that line's site PPE.
- Not applicable — no hazardous energy involved. "Lockout" equivalent is access lockout: revoke edit/release permissions on the nonconforming file or record until rework is complete.

5. Regulatory References

- None sector-specific to rework as a single standard; internal Quality Management Policy applies. Cross-cutting obligations that bind every member include applicable state licensing-board rules of professional conduct/competence, IRS Circular 230 where tax matters are involved (e.g., CPAs, tax preparers), and data-protection obligations for client information (e.g., state confidentiality/privacy statutes and contractual data-handling terms with 518210 hosting providers). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. On detection of a deliverable that fails engagement specification, stop any pending release or transmission of the affected version.
2. Segregate the nonconforming work product: move the file to the designated "Rework/Hold" folder or matter status and apply a nonconformance tag identifying deliverable, engagement, and detected defect.
3. Apply access lockout — revoke edit and release permissions so the flawed version cannot be transmitted, and mark superseded versions to prevent accidental client delivery.
4. Open a rework record in the workflow/matter management system; note the defect, detecting reviewer, and affected engagement without duplicating disposition or authorization steps owned by QC-014/QC-016.
5. Confirm rework authorization is in place per QC-016, then re-execute the corrected work to the current engagement specification, preserving the original for traceability.
6. Have the Supervising Licensed Professional review the re-run deliverable against the specification and confirm the defect is resolved and no new defects were introduced.
7. Release the corrected replacement through the normal delivery channel and formally supersede the nonconforming version in the record.
8. Document the outcome: link the rework record, corrected version, and reviewer sign-off; retain per the engagement's record-retention schedule.

8. Decision Tree

OD-016 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Rework & Nonconforming Work Handling

START — TO SEGREGATE, CONTAIN, AND RE-RUN PROFESSIONAL WORK PRODUCT (CLIENT DELIVERABLES, FILINGS, REPORTS, DRAWINGS, CODE, OR PROCESSED DATA) THAT FAILS TO MEET ENGAGEMENT SPECIFICATIONS OR INTERNAL …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log it in the rework record with a note and continue; route to the Operations Coordinator for correction in normal workflow

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output accuracy, or client service — not an immediate hazard

ACTION

place the affected deliverable on hold, apply access lockout, escalate to the Supervising Licensed Professional, and resolve before the deliverable proceeds to release

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

nonconforming work product with a filing deadline, statutory/regulatory error, or confidential-data exposure already transmitted or about to be transmitted to a client or third party

ACTION

immediately halt all release, lock the version, and notify the Supervising Licensed Professional and Quality Assurance Reviewer for containment and client/regulator notification decisions

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Nonconforming version is segregated and access-locked before any correction begins.
- Rework record links the original defect, corrective action, and re-run deliverable.
- Corrected deliverable is reviewed against engagement specification by the Supervising Licensed Professional.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Nonconforming deliverable segregated to Rework/Hold status		
Access lockout applied to superseded version		
Rework record opened with defect and detecting reviewer noted		
Rework authorization confirmed per QC-016		
Re-run deliverable reviewed against engagement specification		
Corrected version released and original formally superseded		
Confidential client data handling confirmed during rework		

11. KPIs

- Nonconforming deliverables segregated before release: 100%
- Rework re-run cycle time: ≥ 90% resolved within one business day of authorization
- Repeat nonconformance on same deliverable after rework: ≤ 2%

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-017 — Schedule Deviation & Change Management

Estimated completion time: 30–90 minutes per change event (longer for multi-engagement priority shifts)

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1. Purpose

Establish a controlled method for recording, assessing, and authorizing changes to scheduled professional-services work — scope changes, delays, and priority reshuffles — so that engagement commitments, statutory or filing deadlines, and staffing plans are never silently broken. This protects both service delivery and the firm's professional obligations to clients.

2. Scope

Covers all deviations from an approved delivery schedule across active engagements — client-requested change orders, internal resource reprioritization, and delay events — from intake of the change signal through re-baselining and logging. Excludes bottleneck/capacity-response procedures, which are covered under OD-015, and client-facing notification of schedule impact, which is covered under OD-022.

3. Responsibilities

- Engagement Coordinator (Operations) — logs the deviation, assembles impact data, and maintains the change register and revised schedule of record.
- Operations Scheduling Lead — assesses staffing, deadline, and dependency impact; approves or rejects re-baselines within delegated authority.
- Supervising Licensed Professional — approves any change affecting scope, professional deliverables, or statutory/filing deadlines; retains accountability for the client commitment.

4. Required PPE & Lockout/Tagout

- Standard facility PPE; none specific to this administrative task.
- Not applicable — no hazardous energy involved. The equivalent control is a change hold placed on the affected engagement schedule in the practice/matter-management system until authorization is recorded.

5. Regulatory References

- None sector-specific to schedule management as such; internal engagement-management policy is the governing basis. Applicable overlays include contractual engagement-letter/change-order terms binding on all members, professional-conduct duties of diligence and communication imposed by the applicable state licensing board or professional body, and, where personal client data is rescheduled through hosted systems, applicable data-protection obligations (e.g., state privacy statutes; IRS Pub. 4557 safeguarding duties for tax/payroll practices; state Bar/CPA/board recordkeeping rules). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Capture the change signal in the change register within one business day, recording source (client, internal, external delay), affected engagement(s), and requested new date or scope.
2. Place a change hold on the affected engagement schedule in the practice/matter-management system so no further work commits against the old baseline.
3. Identify all fixed constraints — statutory filing deadlines, contractual milestones, and dependencies on hosted or external systems (see 518210).
4. Assess resource impact: staffing availability, workload conflicts across concurrent engagements, and any downstream deliverable dependencies.
5. Classify severity per Section 8 and route for the required authorization level.
6. On approval, re-baseline the schedule, update committed dates, and hand off client notification per OD-022.
7. Release the change hold and confirm the revised schedule is the version of record; supersede prior baselines.
8. Document the decision, rationale, approver, and final dates in the change register and retain per firm retention policy.

8. Decision Tree

Decision Tree — Schedule Deviation & Change Management

START — ESTABLISH A CONTROLLED METHOD FOR RECORDING, ASSESSING, AND AUTHORIZING CHANGES TO SCHEDULED PROFESSIONAL-SERVICES WORK — SCOPE CHANGES, DELAYS, AND PRIORITY RESHUFFLES — SO THAT ENGAGEMENT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION
no safety, compliance, or service impact — e.g., internal-only sequencing shift with slack against all deadlines

ACTION
Log in the change register, apply the re-baseline under Coordinator authority, and continue

ESCALATE TO
No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION
material risk to compliance, output, or service — not an immediate hazard — e.g., delay compressing a deliverable milestone or reallocating staff across engagements

ACTION
Hold the affected engagement schedule, escalate to the Operations Scheduling Lead, resolve and obtain re-baseline authorization before any dependent work proceeds

ESCALATE TO
Operations Scheduling Lead

Timing: resolve before the work proceeds

CRITICAL

DEFINITION
a change threatens a statutory or filing deadline, a court/regulatory-imposed date, or a binding contractual milestone that cannot be met without immediate intervention

ACTION
Freeze all affected work immediately, notify the Supervising Licensed Professional the same business day for an authorized recovery decision, and do not release commitments until resolved

ESCALATE TO
Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every logged deviation has a documented impact assessment before authorization.
- No re-baseline is released without the authorization level required by its severity.
- Revised schedule of record supersedes and archives the prior baseline with no orphaned commitments.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Change signal logged in register within one business day		
Change hold applied to affected engagement schedule		
Statutory/contractual deadlines identified and checked against new dates		
Resource and dependency impact assessed		
Severity classified and routed to correct approver		
Re-baseline recorded and prior baseline superseded		
Decision, rationale, and approver documented and retained		

11. KPIs

- Deviations logged within one business day of signal: ≥ 98%
- Re-baselines authorized before dependent work proceeds: 100%
- Statutory/contractual deadlines missed due to unmanaged change: 0

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-018 — Subcontractor & Vendor Coordination

Estimated completion time: 45–90 minutes per engagement (excludes ongoing performance monitoring)

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1. Purpose

This procedure governs how the firm selects, onboards, and coordinates subcontractors and vendors who perform part of a client engagement — such as hosted data-processing providers, IT hardware suppliers, contract specialists, or outsourced production partners — so that external work meets firm quality, confidentiality, and delivery standards.

2. Scope

Covers vendor/subcontractor selection, onboarding, work assignment, confidentiality and data-handling agreements, and deliverable acceptance for external providers supporting client engagements at a Professional Services operation. Excludes contractor maintenance supervision (see MD-018) and contractor safety (see SD-023).

3. Responsibilities

- Engagement Lead (Supervising Licensed Professional) — approves use of external providers, confirms scope alignment, and accepts final deliverables against engagement standards.
- Operations Coordinator — executes onboarding, maintains the approved-vendor list, tracks assignments and milestones, and routes issues.
- Compliance/Contracts Reviewer — verifies confidentiality agreements, data-protection terms, insurance, and applicable licensing before work begins.

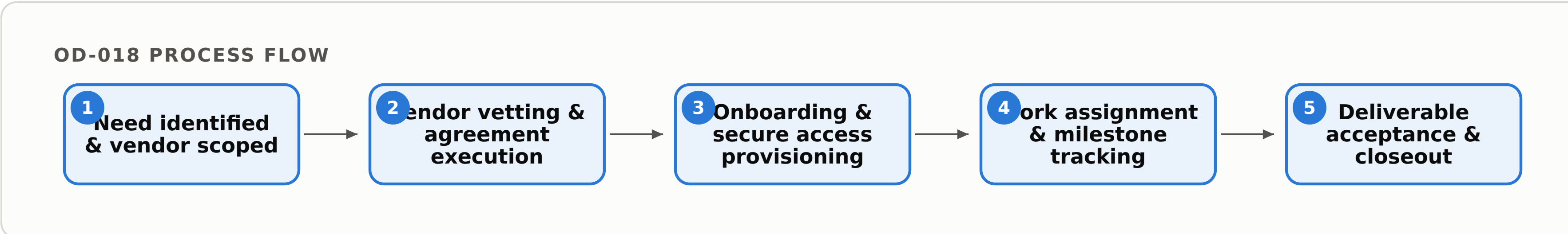
4. Required PPE & Lockout/Tagout

- Standard facility PPE only; no specialized equipment required for coordination activities.
- Not applicable — no hazardous energy involved. Digital access controls (least-privilege credentials, secure file transfer) apply in lieu of physical lockout.

5. Regulatory References

- None sector-specific to all members; internal vendor-management policy applies. Applicable cross-cutting obligations include: FTC Act §5 (16 CFR) on unfair/deceptive practices and vendor oversight; state data-breach notification and consumer data-protection statutes governing third-party access to client data; contractual confidentiality and professional-conduct duties imposed by the applicable state licensing board (e.g., duty to supervise non-firm assistants). Member-specific examples where applicable: IRS Pub. 4557 / Gramm-Leach-Bliley Safeguards Rule for tax and financial preparers engaging service providers. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Confirm with the Engagement Lead that external support is required and define the scope, deliverables, and deadline in writing.
2. Select a vendor from the approved-vendor list, or initiate vetting for a new provider (references, licensing/credentials where applicable, insurance, data-security posture).
3. Route confidentiality/NDA, data-protection, and engagement terms to the Compliance/Contracts Reviewer; do not release client materials until executed.
4. Provision least-privilege access — secure file transfer or hosted-platform credentials — and transmit only the client materials the vendor needs (case files, work papers, design files, source code, or hardware per 334111/518210 inbound dependencies).
5. Assign the work with explicit acceptance criteria, milestones, and points of contact; log the assignment in the engagement record.
6. Monitor progress against milestones; conduct interim check-ins and flag scope or timeline deviations to the Operations Coordinator.
7. Review the returned deliverable against acceptance criteria with the Engagement Lead; reject and return for correction if it fails.
8. On acceptance, revoke vendor access, record vendor performance, and file all agreements and correspondence in the engagement record per retention policy.

8. Decision Tree

OD-018 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Subcontractor & Vendor Coordination

START — THIS PROCEDURE GOVERNS HOW THE FIRM SELECTS, ONBOARDS, AND COORDINATES SUBCONTRACTORS AND VENDORS WHO PERFORM PART OF A CLIENT ENGAGEMENT — SUCH AS HOSTED DATA-PROCESSING PROVIDERS, IT HARDWARE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Log the issue in the engagement record and continue; note for the Operations Coordinator's next vendor review

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

Hold the affected deliverable or access, escalate to the Engagement Lead, and resolve (corrected deliverable, remediated terms) before the work proceeds to the client

ESCALATE TO

Engagement Lead

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

external provider accessed or exposed client confidential/regulated data without an executed agreement, or delivered work that would breach professional-conduct or data-protection duties

ACTION

Immediately suspend vendor access, contain the affected data, and notify the Engagement Lead and Compliance/Contracts Reviewer for breach-assessment and notification determination

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Executed confidentiality and data-protection agreement on file before any client material is released.
- Vendor access is least-privilege and time-bound; revoked at closeout.
- Deliverable verified against written acceptance criteria by the Engagement Lead.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Vendor on approved list or vetting completed		
NDA / confidentiality & data-protection terms executed		
Insurance / licensing verified where applicable		
Access provisioned least-privilege and logged		
Scope, milestones, and acceptance criteria documented		
Deliverable accepted against criteria		
Vendor access revoked and records filed at closeout		

11. KPIs

- On-time deliverable rate from external providers ≥ 95%.
- Agreements executed before material release: 100%.
- Vendor access revoked within 2 business days of closeout: 100%.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-019 — Interdepartmental Coordination Review

Estimated completion time: 45–90 minutes per engagement cycle (recurring per active matter or project milestone)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure aligns Operations with the other departments that touch the same client engagement — intake, the delivering professional practice group, billing/finance, and IT — so that scope, deadlines, deliverable ownership, and client data handling are consistent across every function before work advances. It prevents duplicated effort, missed statutory or contractual dates, and conflicting client communications.

2. Scope

Covers the recurring cross-department coordination review Operations runs for any active matter, project, or client engagement — confirming hand-off points, responsible parties, deadlines, and data-access status between departments. Self-contained within OD; this is a cross-department coordination overview only. It does not author the individual departments' internal procedures (intake conflict checks, deliverable QC, or billing reconciliation), which live in their respective modules and are referenced by ID where a hand-off must be acknowledged.

3. Responsibilities

- Operations Coordinator — convenes the review, maintains the engagement coordination log, confirms each department's status, and routes unresolved items to the responsible role.
- Supervising Licensed Professional (or designated Practice Lead) — confirms scope, deadlines, and deliverable ownership on behalf of the delivering department; adjudicates conflicts between departments.
- Operations Manager — owns the coordination process, approves schedule or resourcing changes, and escalates Critical items to firm leadership.

4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond ordinary office conditions); ensure workstations used to access client data meet the firm's clean-desk and screen-lock policy.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific to interdepartmental coordination itself; internal engagement-management policy applies. Cross-cutting obligations shared by all members govern the handling of shared work: professional confidentiality and conflict-of-interest duties under the applicable state licensing board's rules of professional/ethical conduct; contractual engagement-letter and scope terms; and data-protection/breach-notification obligations under applicable state law (e.g., state data-breach statutes) and any client-imposed security requirements. Member-specific regimes (e.g., IRS

Circular 230 for tax practices; state title-insurance escrow rules; architectural licensing-board contract requirements) may apply as examples but are not the governing frame. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Pull the active engagement record and identify every department touching the work (intake, delivering practice group, billing/finance, IT/data hosting, and any subcontracted service line).
2. Confirm the current agreed scope and deliverable list against the engagement letter or statement of work; flag any divergence between what departments believe they owe.
3. Collect each department's status: outstanding tasks, upcoming statutory/contractual deadlines, and named responsible party for each deliverable.
4. Verify client-data access and system readiness with IT — confirm that required files, licensed applications, and hosted data (per 518210 hosting provider) are provisioned only to authorized personnel and that access matches current staffing.
5. Reconcile hand-off points: confirm who receives each deliverable, in what format, and by when; eliminate gaps and overlaps in ownership.
6. Resolve conflicts in scope, timing, or ownership with the Supervising Licensed Professional; where unresolved, escalate per Section 8.
7. Confirm client-communication ownership so only one department is authorized to issue a given client update, protecting message consistency and confidentiality.
8. Record all confirmed assignments, deadlines, data-access decisions, and open items in the engagement coordination log; distribute the summary to all touching departments and retain per the firm's records-retention schedule.

8. Decision Tree

OD-019 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Interdepartmental Coordination Review

START — THIS PROCEDURE ALIGNS OPERATIONS WITH THE OTHER DEPARTMENTS THAT TOUCH THE SAME CLIENT ENGAGEMENT — INTAKE, THE DELIVERING PROFESSIONAL PRACTICE GROUP, BILLING/FINANCE, AND IT — SO THAT SCOPE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Log it in the coordination log with an owner and target date, and continue the review

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

Hold the affected hand-off or deliverable, escalate to the Supervising Licensed Professional, and resolve the scope/deadline/ownership conflict before the work proceeds

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a missed statutory/contractual deadline, unauthorized access to confidential client data, or conflicting client deliverables about to be released

ACTION

Immediately halt the affected work stream and any pending client release, notify the Operations Manager and Supervising Licensed Professional at once, and trigger the firm's confidentiality/breach or missed-deadline escalation before any further action

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every touching department has confirmed status and a named responsible party for each deliverable.
- All statutory and contractual deadlines are captured and consistent across departments.
- Client-data access verified against current authorization; no orphaned or excess access.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
All touching departments identified and represented in the review		
Scope and deliverable list reconciled to engagement letter / SOW		
All deadlines captured and consistent across departments		
Deliverable ownership and hand-off points confirmed with no gaps/overlaps		
Client-data access verified with IT against current authorization		
Single client-communication owner confirmed per update		
Coordination log updated and distributed to all departments		

11. KPIs

- On-time hand-off rate between departments ≥ 98%
- Coordination reviews completed with all departments represented ≥ 95%
- Deadline-related escalations (missed or at-risk) per quarter = 0

12. Supervisor Verification

Printed Name: ___________________ Signature: ___________________ Date: _____________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

Phase 4 — Completion & customer handoff

OD-020 — Job / Order Completion Verification

Estimated completion time: 20–45 minutes per engagement or deliverable

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To confirm that a completed professional engagement, work order, or client deliverable matches the agreed scope, specifications, and internal quality standards before it is handed to the release workflow, protecting both client outcome and the firm's professional obligations.

2. Scope

Covers the pre-release verification of completed client work — reconciling the finished deliverable against the engagement letter, statement of work, or work order — for all service lines in the Operations department. Excludes final inspection (spec-conformance testing), which is covered under QC-012, and formal release/turnover to the client, which is covered under QC-013.

3. Responsibilities

- Operations Coordinator — assembles the completed work package, confirms all engagement deliverables are present, and initiates the verification record.
- Supervising Licensed Professional — verifies the deliverable conforms to the agreed scope and applicable professional standards, and signs off completion.
- Quality Assurance Reviewer — performs the independent checklist review and logs any findings before hand-off to QC-013.

4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond office-standard); where the service line performs site visits, applicable site PPE per the client premises.
- Not applicable — no hazardous energy involved. Information-security controls (access-restricted client files, encrypted storage per 518210 hosting terms) apply in lieu of physical LOTO.

5. Regulatory References

- None sector-specific to completion verification across all members; internal quality policy applies. Common baseline obligations include client confidentiality and professional-conduct duties under each member's applicable state licensing board rules; contractual scope obligations under the engagement letter or statement of work; and data-safeguard duties where regulated client data is handled (e.g., IRS Pub. 4557 safeguards for tax preparation and payroll members, HIPAA where covered records are processed, GLBA Safeguards Rule for financial-data handlers). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

OD-020 PROCESS FLOW

7. Step-by-Step Procedure

1. Retrieve the engagement letter, statement of work, or work order and confirm the deliverable identifier matches the open job number.
2. Confirm all contracted deliverables and supporting work products are present in the work package (files, reports, drawings, filings, code, or data sets as applicable to the service line).
3. Reconcile each deliverable line-by-line against the agreed scope, revision requests, and any client-approved change orders.
4. Verify version control — confirm the final approved version supersedes all drafts and that superseded working files are labeled or archived on approved storage (518210 hosted environment).
5. Confirm client confidentiality and data-handling controls are intact (access restrictions, redactions, and identifiers correct on all outputs).
6. Perform the independent Quality Assurance checklist review (Section 10) and note any findings.
7. Classify and resolve findings per the Decision Tree before the package proceeds.
8. Record verification outcome, findings, and resolutions in the engagement completion log; hand off to formal release per QC-013.

8. Decision Tree

OD-020 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Job / Order Completion Verification

START — TO CONFIRM THAT A COMPLETED PROFESSIONAL ENGAGEMENT, WORK ORDER, OR CLIENT DELIVERABLE MATCHES THE AGREED SCOPE, SPECIFICATIONS, AND INTERNAL QUALITY STANDARDS BEFORE IT IS HANDED TO THE RELEASE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log it in the engagement completion note and continue; route correction to the Operations Coordinator for cleanup

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

place a hold on the work package, escalate to the Supervising Licensed Professional named in Section 3, and resolve the scope or quality gap before the package proceeds to release

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

deliverable would release with a scope omission, uncorrected professional error, or client-confidential data exposed to an unauthorized party

ACTION

stop the hand-off immediately, secure the affected files, and notify the Supervising Licensed Professional and firm compliance counsel before any further action

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- All contracted deliverables present and matched to the engagement scope.
- Final approved version confirmed and superseded drafts controlled.
- Confidentiality and data-handling controls verified on every output.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Deliverable identifier matches open job number		
All contracted deliverables present in package		
Scope reconciliation completed against engagement letter/SOW		
Client-approved change orders incorporated		
Final version confirmed; drafts archived		
Confidentiality/data-handling controls intact		
Verification record entered in completion log		

11. KPIs

- Completion verifications passed on first review ≥ 95%
- Deliverables released with post-release scope discrepancy < 2%
- Critical findings escalated same business day 100%

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-021 — Delivery / Service Turnover

Estimated completion time: 30–90 minutes per engagement turnover

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure governs the controlled release of a completed professional deliverable or service result — the finished work product (e.g., signed opinion, filed return, executed settlement package, design set, code build, campaign asset) — to the client or the designated next party. It ensures the deliverable is complete, authorized, and released only after required internal sign-offs and confidentiality controls are satisfied.

2. Scope

Covers verification of completeness, authorization to release, and the formal turnover of the finished deliverable to the client or successor party across all engagement types. Excludes the physical/electronic transmission logistics themselves — see SH-014 — and capture of receipt confirmation — see SH-024.

3. Responsibilities

- Engagement Coordinator (Operations) — assembles the final deliverable package, confirms all checklist items, and initiates turnover.
- Supervising Licensed Professional — reviews the deliverable for scope conformance and authorizes release under their credential.
- Records & Confidentiality Custodian — verifies retention filing, access permissions, and that only authorized recipients are named before release.

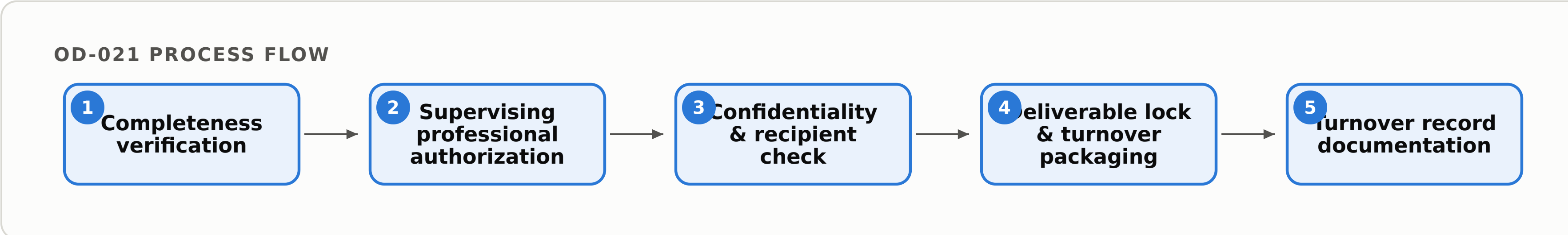
4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond ordinary office/workstation conditions); where the service line operates field or site visits, apply that site's PPE rules.
- Not applicable — no hazardous energy involved. Digital "lockout" equivalent: freeze/lock the deliverable record to read-only once authorized, preventing post-release edits.

5. Regulatory References

- None sector-specific to all members as a single safety standard; internal engagement-management and confidentiality policy applies. Applicable common obligations include client-confidentiality and conflict duties under each member's state licensing/professional-conduct rules; IRS Circular 230 (31 CFR Part 10) where tax matters are involved; and data-protection commitments flowed down from hosting providers (e.g., state data-breach notification statutes). Member-specific examples: state bar rules (lawyers), AICPA/state board standards (CPAs). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Retrieve the completed deliverable and confirm it matches the engagement scope of work and any client-agreed change orders.
2. Verify all internal reviews and required sign-offs are recorded; confirm no open review comments remain.
3. Route the deliverable to the Supervising Licensed Professional for release authorization under their credential.
4. Have the Records & Confidentiality Custodian confirm authorized recipient list, access permissions, and that no privileged or out-of-scope material is included.
5. Confirm retention copy is filed to the system of record (hosted per data-processing provider) and the working record is locked to read-only.
6. Package the authorized deliverable for turnover; hand off transmission to SH-014.
7. Notify the client/next party that the deliverable is available and confirm the turnover point; receipt confirmation is captured per SH-024.
8. Document the turnover in the engagement record: version released, authorizing professional, recipient, date/time, and checklist reference.

8. Decision Tree

OD-021 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Delivery / Service Turnover

START — THIS PROCEDURE GOVERNS THE CONTROLLED RELEASE OF A COMPLETED PROFESSIONAL DELIVERABLE OR SERVICE RESULT — THE FINISHED WORK PRODUCT (E.G., SIGNED OPINION, FILED RETURN, EXECUTED SETTLEMENT PACKAGE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log in the engagement record and continue release (e.g., cosmetic formatting note corrected before packaging)

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

hold the turnover, escalate to the Supervising Licensed Professional, and resolve before release (e.g., missing sign-off, unresolved scope gap, wrong version)

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

release of privileged/confidential material to an unauthorized party, or filing/turnover of an unauthorized or non-conforming deliverable creating regulatory or client harm

ACTION

immediately halt turnover, lock the record, and notify the Supervising Licensed Professional and Records & Confidentiality Custodian; initiate breach/error-remediation review before any further release

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Deliverable matches engagement scope and approved change orders.
- Required licensed sign-off recorded and release authorized.
- Recipient list and confidentiality permissions verified; retention copy filed.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Deliverable complete and matches scope of work		
All internal reviews closed, no open comments		
Supervising Licensed Professional authorization recorded		
Authorized recipient list confirmed; no out-of-scope/privileged content		
Retention copy filed to system of record		
Working record locked to read-only post-authorization		
Turnover documented (version, authorizer, recipient, date)		

11. KPIs

- On-time turnover against committed date ≥ 95%
- Deliverables released with complete authorization on first pass ≥ 98%
- Confidentiality/wrong-recipient release incidents = 0

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-022 — Customer Communication & Status Notification

Estimated completion time: 10–30 minutes per client touchpoint; ongoing across the engagement lifecycle

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To ensure clients receive timely, accurate, and appropriately documented updates on the status, changes, and completion of professional engagements, protecting confidentiality and preserving a clear communication record across the service lifecycle.

2. Scope

Covers all outbound status notifications, change communications, and completion/delivery notices to clients of the engagement — including channel selection, content approval, confidentiality handling, and logging. Excludes complaint intake, which is covered under OD-023, and quality complaint investigation, which is covered under QC-021.

3. Responsibilities

- Engagement Coordinator — drafts, sends, and logs routine status and completion notices; maintains the communication record in the client file.
- Supervising Licensed Professional — reviews and approves any communication conveying substantive advice, scope/fee changes, or deliverable release; confirms confidentiality classification.
- Operations Lead — owns the notification schedule, escalation routing, and periodic audit of the communication log.

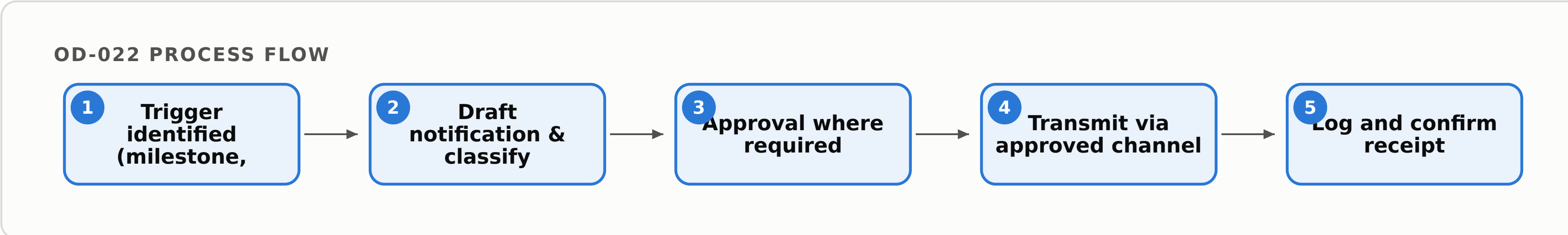
4. Required PPE & Lockout/Tagout

- Standard facility PPE (none beyond general office conditions).
- Not applicable — no hazardous energy involved. Information-security controls (access-controlled systems, encryption for confidential material) apply in place of physical LOTO.

5. Regulatory References

- None sector-specific to communication practice governs every member of this span uniformly; internal engagement-communication policy applies as the governing frame, supported by: FTC Act §5 (15 U.S.C. §45) prohibition on unfair/deceptive representations to clients; applicable state licensing-board rules of professional conduct on client communication and confidentiality (e.g., CPA board, state bar, or architecture board rules); and contractual/engagement-letter confidentiality terms. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Identify the notification trigger: scheduled milestone, scope/fee change, delay, information request, or deliverable completion.
2. Confirm client identity and authorized recipients against the engagement record; verify preferred channel and any confidentiality flags.
3. Draft the notification using approved templates; state status plainly, avoid unverified commitments, and reference the engagement/matter identifier — never client PII in subject lines.
4. Classify the content: routine status vs. substantive (advice, scope, fee, or deliverable release). Route substantive content to the Supervising Licensed Professional for approval.
5. Transmit via the approved, access-controlled channel; apply encryption or secure portal (hosted per 518210 provider) for confidential or personally identifiable material.
6. Request or confirm receipt/acknowledgment for change and completion notices.
7. Attach deliverables or portal links for completion notices only after release approval is confirmed.
8. Log the communication in the client file: date, recipient, channel, summary, approver, and receipt confirmation.

8. Decision Tree

OD-022 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Customer Communication & Status Notification

START — TO ENSURE CLIENTS RECEIVE TIMELY, ACCURATE, AND APPROPRIATELY DOCUMENTED UPDATES ON THE STATUS, CHANGES, AND COMPLETION OF PROFESSIONAL ENGAGEMENTS, PROTECTING CONFIDENTIALITY AND PRESERVING A CLEAR …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION
no safety, compliance, or service impact — e.g., typo, wrong send time

ACTION
correct the draft, note in the communication log, and continue

ESCALATE TO
No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION
material risk to compliance, output, or service — not an immediate hazard — e.g., unapproved substantive content queued, wrong channel selected

ACTION
hold transmission, escalate to the Supervising Licensed Professional named in Section 3, resolve and re-approve before the notice is sent

ESCALATE TO
Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION
confidential client information disclosed to an unauthorized recipient or a materially inaccurate status/completion notice already transmitted

ACTION
immediately halt further related sends, recall/notify recipients where possible, and notify the Operations Lead and Supervising Licensed Professional the same business day for containment and privacy assessment

ESCALATE TO
Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Recipient identity and authorization verified against the engagement record before sending.
- Substantive content carries documented approval from the Supervising Licensed Professional.
- Confidential material transmitted only via encrypted/secure channel.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Notification trigger correctly identified and categorized		
Recipient list matches authorized parties in engagement record		
Confidentiality classification applied and correct		
Substantive content approved by Supervising Licensed Professional		
Approved channel used; encryption applied where required		
Receipt/acknowledgment obtained for change/completion notices		
Communication logged with date, recipient, channel, and approver		

11. KPIs

- On-time notification rate (status/change/completion sent by committed date): ≥ 95%.
- Communication logging completeness: 100% of client-facing notices logged.
- Misdirected or unauthorized-disclosure incidents: 0 per quarter.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-023 — Customer Feedback & Complaint Intake

Estimated completion time: 15–30 minutes per intake event

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To provide a consistent method for receiving, recording, and routing feedback and complaints from clients of a professional services engagement, so that every item is acknowledged, logged in the matter/engagement record, and directed to the correct owner without loss or delay.

2. Scope

Covers first-contact capture, classification, logging, acknowledgement, and routing of client feedback and complaints received by any channel (phone, email, client portal, in-person, or written correspondence) across all engagement types. Excludes investigation of the underlying issue, which is covered under QC-021, and corrective/preventive action, which is covered under QC-019.

3. Responsibilities

- Intake Coordinator (Operations) — receives the feedback/complaint, records it in the engagement log within the stated timeframe, and issues client acknowledgement.
- Client Relationship Owner — the assigned professional or account lead who confirms routing accuracy and owns downstream disposition.
- Supervising Licensed Professional — reviews any item flagged Major or Critical, confirms confidentiality handling, and authorizes escalation to the responsible party or the applicable state licensing board where required.

4. Required PPE & Lockout/Tagout

- Standard office PPE; none required beyond normal workplace conditions.
- Not applicable — no hazardous energy involved. "Containment" for this task means restricting access to the complaint record and any associated client data to authorized personnel only.

5. Regulatory References

- None sector-specific govern complaint intake across every member of this archetype; internal client-service and confidentiality policy applies as the governing frame. Supporting obligations that touch all members include the FTC Act §5 (15 U.S.C. §45) prohibition on unfair/deceptive practices in client communications, and applicable state data-breach notification statutes where a complaint reveals exposure of client personal data. Member-specific complaint-handling duties may also apply (e.g., state licensing-board client-grievance rules for licensed professionals; IRS Circular 230 for federal tax practitioners). Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Receive the feedback or complaint through any inbound channel and confirm the identity of the client and the associated matter/engagement number before discussing any substantive detail.
2. Capture verbatim the client's statement, the channel, date/time, and the affected engagement; do not paraphrase or characterize the concern.
3. Open a new record in the complaint/feedback log within the engagement management system, assigning a unique intake ID.
4. Classify the item as feedback or complaint, and assign preliminary severity (Minor / Major / Critical) per Section 8.
5. Flag any confidentiality or privileged-information handling requirements, and restrict record access accordingly.
6. Issue a client acknowledgement (verbal followed by written, or written alone) confirming receipt and expected next contact, without admitting liability.
7. Route the logged record to the Client Relationship Owner; where investigation is required, hand off per QC-021.
8. Record all actions, timestamps, and the routing destination in the intake log and close out this procedure.

8. Decision Tree

OD-023 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Customer Feedback & Complaint Intake

START — TO PROVIDE A CONSISTENT METHOD FOR RECEIVING, RECORDING, AND ROUTING FEEDBACK AND COMPLAINTS FROM CLIENTS OF A PROFESSIONAL SERVICES ENGAGEMENT, SO THAT EVERY ITEM IS ACKNOWLEDGED, LOGGED IN THE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact — e.g., general feedback or minor scheduling dissatisfaction

ACTION

log it in the engagement record, tag for Client Relationship Owner review, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or the client relationship — not an immediate hazard — e.g., allegation of service error, missed deadline, or billing dispute

ACTION

place a hold on any related client-facing action, escalate to the Supervising Licensed Professional named in Section 3, and resolve routing before the item proceeds

ESCALATE TO

Supervising Licensed Professional

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

allegation involving breach of client confidentiality/privilege, exposure of client personal data, professional misconduct, or a regulatory/licensing-board grievance

ACTION

contain the record immediately, notify the Supervising Licensed Professional and compliance counsel the same business day, and initiate any statutory notification before further processing

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

No finding
Activity stands. Complete the checklist and continue.

Minor
Handled in place at task level; no escalation.

Major
Supervisory decision required before the next stage.

Critical
Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every intake has a unique ID, verbatim client statement, and confirmed engagement linkage.
- Severity classification and confidentiality flag are recorded before routing.
- Client acknowledgement issued within the committed timeframe with no liability admission.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Client identity and engagement number verified before substantive discussion		
Client statement captured verbatim, not paraphrased		
Unique intake ID assigned in the log		
Severity and confidentiality flags recorded		
Client acknowledgement issued and documented		
Record routed to correct owner (or handed to QC-021)		
Access restricted to authorized personnel		

11. KPIs

- Acknowledgement issued within 1 business day of receipt: ≥ 95%
- Intake records with complete required fields at first entry: ≥ 98%
- Critical items escalated same business day: 100%

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

Phase 5 — Oversight & continuity

OD-024 — Operational Incident Reporting & Response

Estimated completion time: 30–90 minutes per incident (excluding downstream remediation)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure establishes how Operations staff report, classify, and respond to operational incidents and near-misses — such as misdirected client deliverables, missed statutory or filing deadlines, data-handling errors, and service disruptions — so that impact is contained, root cause is captured, and recurrence is prevented across the engagement lifecycle.

2. Scope

Covers detection, logging, severity classification, containment, escalation, and closure of operational incidents and near-misses affecting client work product, deliverable accuracy, confidentiality, and service continuity at a professional services operation. Excludes personal-injury and workplace safety incident reporting, which is covered under SD-018, and equipment/IT hardware breakdown, which is covered under MD-009.

3. Responsibilities

- Operations Coordinator — receives and logs incident reports, opens the incident record, notifies the responsible owner, and tracks the item to closure.
- Engagement/Service Lead — assesses client-facing impact, contains the affected work product, and directs corrective action for the affected engagement.
- Supervising Licensed Professional — reviews Major and Critical incidents, authorizes client and regulator notifications where required, and approves final closure.

4. Required PPE & Lockout/Tagout

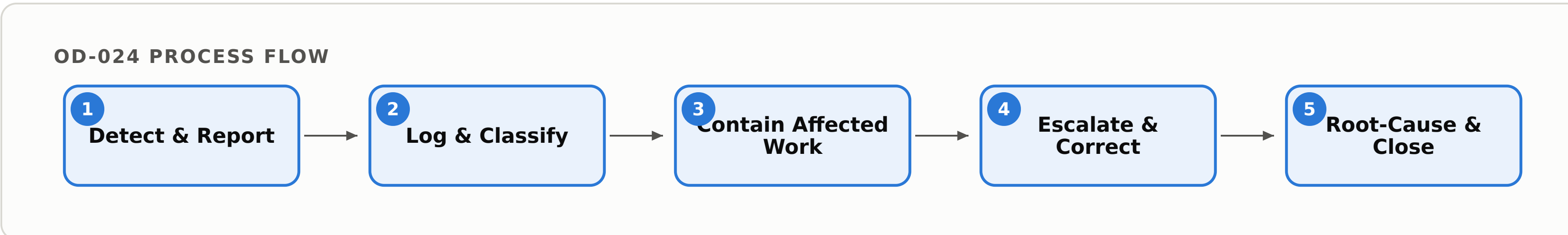
- Standard facility PPE only; not a physical-hazard task. Access controls (badge, VPN, and role-based system credentials) apply when handling affected records.
- Not applicable — no hazardous energy involved. Where an incident implicates a system or device, place the affected record or workflow on administrative hold rather than physical lockout.

5. Regulatory References

- FTC Standards for Safeguarding Customer Information (16 CFR Part 314, "Safeguards Rule") — incident-response and breach-handling obligations applicable to financial-services-adjacent professional firms.

- Applicable state data-breach notification statutes (e.g., breach-notice laws in effect in each state where clients reside), governing timing and content of notice after unauthorized disclosure.
- Internal policy basis: firm confidentiality, engagement-quality, and records-retention policies, supplemented by member-specific professional-conduct rules where applicable (e.g., state licensing-board duties of competence and confidentiality; IRS Circular 230 for tax-practice members).
- Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



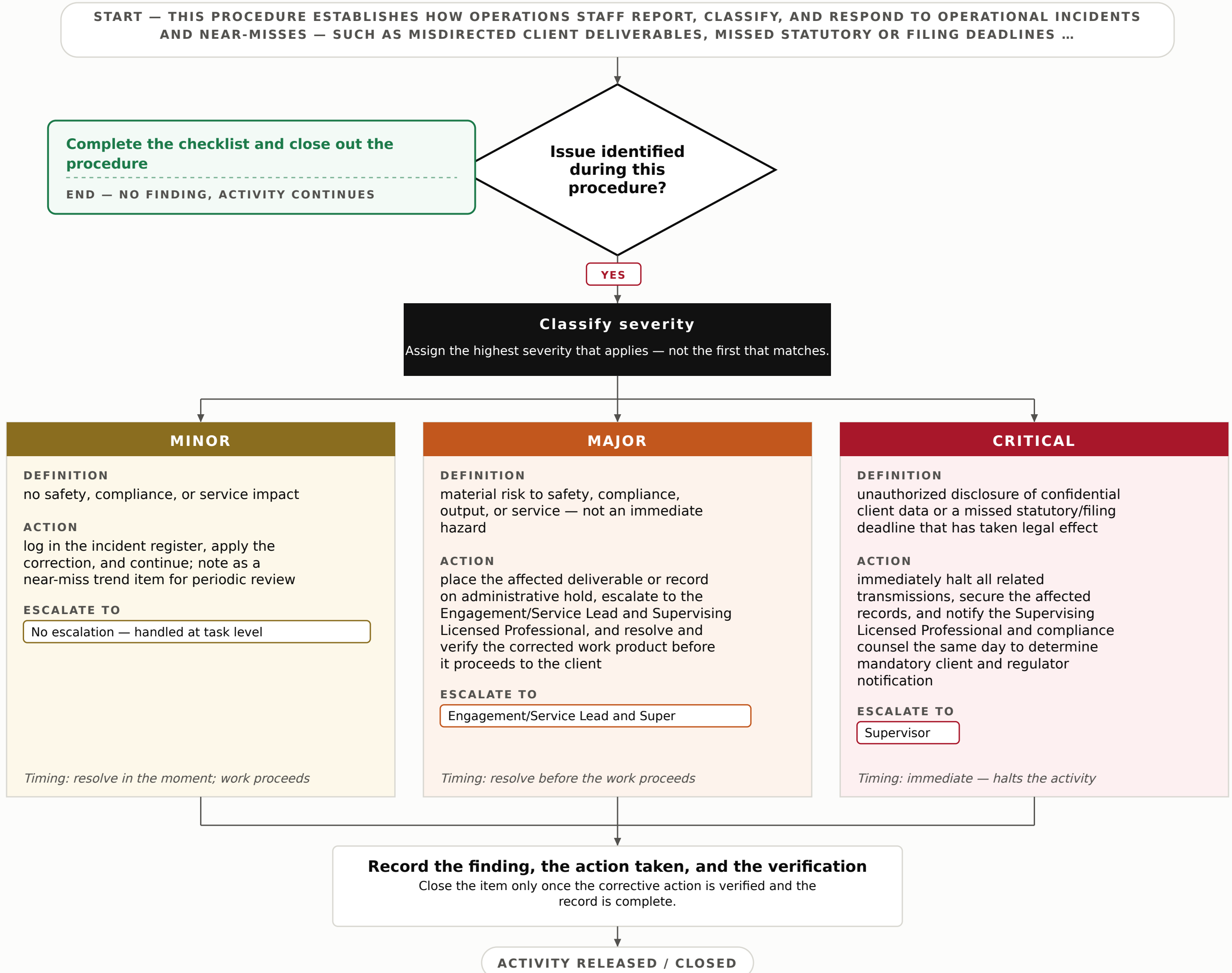
7. Step-by-Step Procedure

1. Detect and report: any staff member who observes an incident or near-miss (e.g., deliverable sent to wrong recipient, deadline slip, data-entry error, service outage) reports it to the Operations Coordinator within the same business day.
2. Log the incident: open an incident record capturing date/time, engagement or client reference, description, systems or records involved, and whether it is an actual incident or a near-miss.
3. Classify severity using the Decision Tree in Section 8 (Minor / Major / Critical) based on safety, compliance, output-accuracy, and service impact.
4. Contain the affected work: place the affected deliverable, filing, or record on administrative hold; suspend further transmission or client release until reviewed by the Engagement/Service Lead.
5. Escalate per severity: notify the responsible owner named in Section 3 and, for Major/Critical, the Supervising Licensed Professional; determine any client or regulator notification obligations.
6. Correct and verify: apply the correction (reissue deliverable, refile, restore service continuity via the hosting provider), and confirm the corrected work product is accurate before release.
7. Root-cause analysis: identify the underlying cause and at least one preventive action; assign an owner and due date.
8. Document and close: record the resolution, notifications made, and preventive action in the incident record; obtain Supervising Licensed Professional sign-off for Major/Critical before closure.

8. Decision Tree

OD-024 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Operational Incident Reporting & Response



READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every reported incident and near-miss has a logged record with a severity classification within one business day.
- Affected work product was contained (held) before any further client release.
- Root-cause and at least one preventive action are recorded for all Major and Critical incidents.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Incident logged with date, engagement reference, and description		
Actual incident vs. near-miss identified		
Severity classified (Minor / Major / Critical)		
Affected deliverable/record placed on administrative hold		
Client/regulator notification obligation assessed and documented		
Root-cause and preventive action recorded		
Supervising Licensed Professional sign-off obtained (Major/Critical)		

11. KPIs

- Incident logging timeliness: ≥ 95% of incidents logged within one business day of detection.
- Critical incident closure: 100% of Critical incidents contained same-day with notification decision documented.
- Preventive-action completion: ≥ 90% of assigned preventive actions closed by due date.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-025 — Emergency & Business Continuity Readiness Check

Estimated completion time: 2–4 hours (annual, with quarterly spot-check)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure verifies that the practice can continue to protect client records, systems, and service commitments through a disruption (loss of premises, IT outage, hosted-platform failure, or key-person absence) and can resume normal operations within its stated recovery objectives. It confirms readiness — it does not conduct the drill itself.

2. Scope

Covers the periodic readiness review of continuity documentation, data-recovery capability, contact lists, vendor dependencies, and resumption plans for all engagement work and client-record systems. Excludes live emergency drills and incident response, which are covered under SD-015 and SD-016, and backup power systems, which are covered under ED-027.

3. Responsibilities

- Operations Manager — owns the continuity plan, schedules and leads the readiness check, and signs off findings.
- Supervising Licensed Professional — confirms that resumption priorities protect client obligations, deadlines, and confidentiality duties.
- IT / Data Systems Coordinator — verifies data backup, restore, and hosted-service recovery capability with providers.

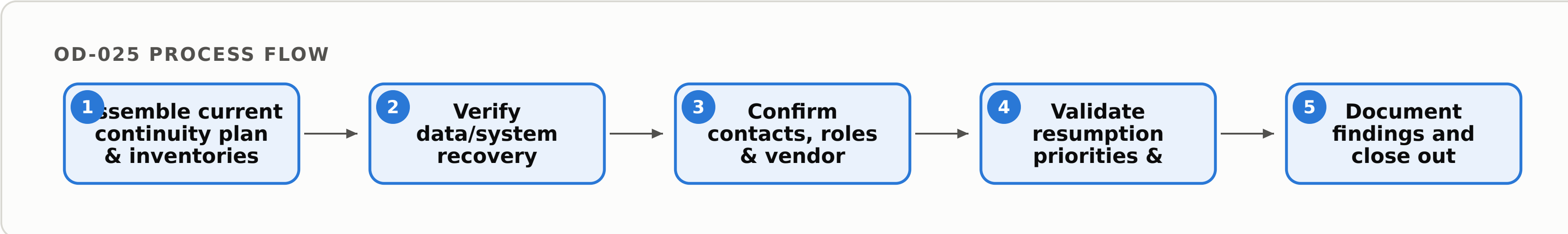
4. Required PPE & Lockout/Tagout

- Standard facility PPE; none specific to this administrative task.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- FTC Standards for Safeguarding Customer Information (16 CFR Part 314, "Safeguards Rule") — requires a written information security program with incident-response and continuity provisions applicable to firms handling client financial information.
- Applicable state data-breach notification statutes (all 50 states) governing detection, response, and client notice obligations.
- Applicable state licensing-board and professional-conduct rules requiring reasonable safeguarding of client property, records, and confidentiality during disruption (e.g., state CPA, licensing-board, or professional-responsibility rules).
- Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Retrieve the current written continuity plan, client-record inventory, and critical-vendor list; confirm the last revision date and owner.
2. Confirm that all active client matters and their deadlines are captured in the resumption-priority list, ranked by obligation and time sensitivity.
3. With the IT / Data Systems Coordinator, verify that a recent data backup exists and that a documented restore path is available for both on-premise records and hosted platforms (per the 518210 Data Processing and Hosting provider's stated recovery terms).
4. Confirm hardware-replacement readiness — spare or lead-time arrangements for workstations and servers sourced through 334111 / 423430 channels — so equipment loss does not block resumption.
5. Validate emergency contact lists (staff, licensed professionals, key clients, providers) for accuracy and reachability; test at least one contact per category.
6. Confirm recovery time and recovery point objectives are documented and that named alternates exist for each critical role (key-person coverage).
7. Note any gaps against the Decision Tree; assign owners and target dates for remediation.
8. Record results on the Inspection Checklist, update the plan revision log, and obtain supervisor verification.

8. Decision Tree

OD-025 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Emergency & Business Continuity Readiness Check

START — THIS PROCEDURE VERIFIES THAT THE PRACTICE CAN CONTINUE TO PROTECT CLIENT RECORDS, SYSTEMS, AND SERVICE COMMITMENTS THROUGH A DISRUPTION (LOSS OF PREMISES, IT OUTAGE, HOSTED-PLATFORM FAILURE, OR …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log in the readiness-check record with a corrective note and continue the review

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

hold sign-off on the affected continuity element, escalate to the Operations Manager, and resolve (update plan, restore path, or contact list) before the readiness check is closed

ESCALATE TO

Operations Manager

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

no verified means to recover client records or resume protected client obligations within stated objectives (e.g., no valid backup, no restore path, or no key-person coverage for time-critical filings)

ACTION

immediately notify the Operations Manager and Supervising Licensed Professional, suspend closeout, and initiate remediation before any customer-facing continuity assurance is issued

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

No finding — Activity stands. Complete the checklist and continue.

Minor — Handled in place at task level; no escalation.

Major — Supervisory decision required before the next stage.

Critical — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Continuity plan, client-record inventory, and vendor list are current and version-controlled.
- A valid backup and documented restore path are confirmed for all client-record systems.
- Every critical role and time-sensitive client obligation has a named alternate and resumption priority.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Written continuity plan current and version-controlled		
Client-record inventory complete and matched to active matters		
Recent backup verified and restore path documented		
Hosted-platform (518210) recovery terms confirmed		
Emergency contact lists tested and accurate		
Recovery objectives (RTO/RPO) documented		
Key-role alternates named and confirmed		

11. KPIs

- Continuity plan reviewed and verified ≥ once per 12 months — 100% on schedule.
- Client-record systems with a verified restore path — 100%.
- Critical roles with a named, confirmed alternate — 100%.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-026 — Regulatory, License & Permit Currency Verification

Estimated completion time: 2–4 hours per verification cycle (quarterly), plus ad-hoc renewals

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To confirm that every operating license, professional registration, business permit, and firm-level authorization required for the practice to lawfully deliver services is current, unexpired, and free of conditions or restrictions — preventing lapses that would suspend billable work or expose the firm to penalties.

2. Scope

Covers the identification, tracking, and currency verification of firm and practitioner licenses, professional-body registrations, business/occupational permits, and jurisdictional filing authorizations for all active service lines. Excludes safety regulatory compliance (see SD-028) and permit-to-work authorizations (see MD-007), which are covered under their owning modules.

3. Responsibilities

- Operations Manager — owns the license register, schedules the quarterly verification cycle, and authorizes hold/release of affected service lines.
- Compliance Coordinator — performs each currency check against issuing authorities, collects renewal evidence, and logs findings.
- Supervising Licensed Professional — confirms practitioner-level credentials and continuing-education status for their service line and signs off on release.

4. Required PPE & Lockout/Tagout

- Standard facility PPE only; not applicable to this administrative task.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- U.S. federal EIN/business-entity registration and IRS practitioner authorizations where the service line requires them (e.g., IRS Circular 230 for tax practice; PTIN under 26 U.S.C. §6109); applicable state professional/occupational licensing board statutes; applicable state Secretary of State entity-registration and annual-report requirements; local business/occupational tax registration ordinances. - None of the above governs the entire span uniformly; the governing frame is the firm's internal License & Permit Register policy, which enumerates each service line's applicable regime. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Retrieve the master License & Permit Register and confirm every active service line and each practicing professional is represented; add any newly onboarded staff or new jurisdictions.
2. For each entry, record license/registration number, issuing authority, issue date, expiry date, and any attached conditions (e.g., continuing-education hours, bonding, insurance filing).
3. Verify current status directly against the issuing authority's official record — online licensing portal, board roster, or written confirmation — never solely against internal files.
4. Confirm continuing-education, renewal-fee, and periodic-filing obligations are satisfied for each practitioner-level credential.
5. Confirm firm-level authorizations (entity registration, local business permit, professional-body firm registration) are active and reflect the current legal name and address.
6. Flag any entry expiring within the next 90 days for renewal action and assign an owner and due date.
7. Route any lapsed, restricted, or unverifiable entry through the Decision Tree (Section 8) before permitting affected work to proceed.
8. Update the register with verification date, evidence reference, and verifier initials; retain evidence per the firm retention schedule.

8. Decision Tree

OD-026 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Regulatory, License & Permit Currency Verification

START — TO CONFIRM THAT EVERY OPERATING LICENSE, PROFESSIONAL REGISTRATION, BUSINESS PERMIT, AND FIRM-LEVEL AUTHORIZATION REQUIRED FOR THE PRACTICE TO LAWFULLY DELIVER SERVICES IS CURRENT, UNEXPIRED, AND …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact — e.g., clerical mismatch in the register, address typo

ACTION

correct the register entry, note the correction, and continue

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance or service — e.g., credential expiring within 30 days, missing CE evidence, unverified renewal — not an immediate lapse

ACTION

hold the affected credential from new engagements, escalate to the Operations Manager, and resolve renewal before assigning new work under that authorization

ESCALATE TO

Operations Manager

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a required license, registration, or permit is expired, suspended, or revoked and work is actively being performed under it

ACTION

immediately suspend the affected service line, notify the Operations Manager and Supervising Licensed Professional, and do not release work until currency is restored and documented

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every active service line and practitioner appears in the register with a verified expiry date.
- Each currency status is confirmed against the issuing authority's official record, not internal files alone.
- All entries expiring within 90 days have an assigned renewal owner and due date.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Master register reflects all active service lines and practitioners		
Each firm-level authorization confirmed active with issuing authority		
Each practitioner credential confirmed current and unrestricted		
Continuing-education / periodic-filing obligations satisfied		
Entries expiring within 90 days flagged with owner and due date		
Verification evidence attached and retained per schedule		
No expired, suspended, or revoked authorization in active use		

11. KPIs

- License currency rate: 100% of active authorizations verified current each cycle.
- Renewal lead time: ≥ 30 days between renewal completion and expiry for ≥ 95% of entries.
- Verification cycle completion: 100% of scheduled quarterly checks completed on time.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-027 — Operational Risk Review

Estimated completion time: 3–5 hours per review cycle (quarterly)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

This procedure establishes a periodic, structured review of operational risks and the controls that mitigate them — including client-data confidentiality, engagement-delivery continuity, vendor/IT dependence, and professional-licensing exposure — so that a Professional Services firm can identify, rate, and remediate control gaps before they cause a client, financial, or compliance failure.

2. Scope

Covers the scheduled review of operational (non-financial-statement) risks and their controls across all Operations service lines, including data-handling, engagement workflow, third-party hosting, and continuity risks. Excludes safety hazard/risk assessment, which is covered under SD-004, and quality preventive action, which is covered under QC-020.

3. Responsibilities

- Operations Manager — owns the risk register, schedules each review cycle, and assigns remediation owners and due dates.
- Supervising Licensed Professional — validates that identified control gaps affecting professional obligations (confidentiality, conflicts, engagement quality) are correctly rated and cleared before sign-off.
- IT/Information Security Coordinator — assesses risks tied to computing hardware, hosted data environments, and vendor dependencies, and reports control status.

4. Required PPE & Lockout/Tagout

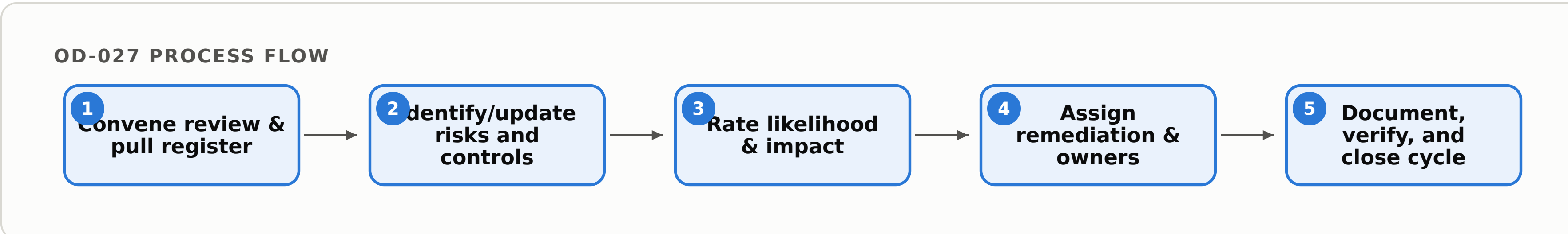
- Standard facility PPE (none beyond normal office conditions).
- Not applicable — no hazardous energy involved.

5. Regulatory References

- FTC Standards for Safeguarding Customer Information (16 CFR Part 314, "Safeguards Rule") — applies to firms handling client financial/personal data.
- FTC Act §5 (15 U.S.C. §45) — unfair/deceptive practices, including misrepresentation of data-security controls.
- Applicable state data-breach notification and reasonable-security statutes (e.g., California Civ. Code §§1798.81.5 & 1798.82; comparable statutes exist in all states).

- Applicable state professional-licensing board rules governing confidentiality and records (member-specific examples: state bar, state board of accountancy, state architecture registration board).
- Internal Information Security & Records Retention Policy where no sector-specific standard governs a given control.
- Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Operations Manager schedules the review cycle and distributes the current risk register and prior cycle's open actions to participants at least five business days ahead.
2. Convene the review with the Operations Manager, Supervising Licensed Professional, and IT/Information Security Coordinator; confirm scope covers all active service lines and engagement types.
3. Review each register entry and add newly identified operational risks — client-confidentiality exposure, engagement-delivery bottlenecks, dependence on hosted data environments (518210) and computing hardware (334111), key-person continuity, and vendor SLA gaps.
4. For each risk, document the existing control and test evidence of its operation (access logs, backup verification, engagement checklists, conflict-check records).
5. Rate each risk by likelihood and impact on a 3-tier scale (Minor / Major / Critical) using the definitions in Section 8; record residual rating after controls.
6. Assign a remediation owner and due date to every Major or Critical residual risk; confirm prior-cycle actions are closed or re-escalated.
7. Supervising Licensed Professional reviews all ratings touching professional obligations and confirms no Critical item remains unaddressed.
8. Update the risk register, log the review date, participants, decisions, and outstanding actions, and store the record per the firm's retention policy.

8. Decision Tree

Decision Tree — Operational Risk Review

START — THIS PROCEDURE ESTABLISHES A PERIODIC, STRUCTURED REVIEW OF OPERATIONAL RISKS AND THE CONTROLS THAT MITIGATE THEM — INCLUDING CLIENT-DATA CONFIDENTIALITY, ENGAGEMENT-DELIVERY CONTINUITY, VENDOR/IT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

Log in the risk register with a monitoring note and continue the review

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate hazard

ACTION

Contain the affected process (e.g., suspend the exposed workflow or restrict data access), escalate to the Operations Manager, assign a remediation owner and due date, and resolve before the associated work proceeds

ESCALATE TO

Operations Manager

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

a confirmed or imminent breach of client-confidential data, or loss of a control that could cause professional-obligation failure across engagements

ACTION

Immediately restrict the affected system/workflow, notify the Supervising Licensed Professional and IT/Information Security Coordinator the same day, and trigger breach-notification/counsel review before any further processing

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Every active service line and engagement type is represented in the reviewed register.
- Each risk has a named control and current test evidence attached.
- Every Major/Critical residual risk has an assigned owner and due date.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Risk register updated for current cycle		
All service lines / engagement types covered		
Each risk mapped to a documented control		
Control test evidence reviewed and dated		
Prior-cycle open actions closed or re-escalated		
Major/Critical items have owner + due date		
Review record stored per retention policy		

11. KPIs

- Review cycles completed on schedule: 100% (4 of 4 quarterly).
- Major/Critical remediation actions closed by due date: ≥ 90%.
- Unresolved Critical findings at cycle close: 0.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

Phase 6 — Performance, records & close

OD-028 — Operational KPI Review

Estimated completion time: 2–4 hours per review cycle (monthly or per reporting period)

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1. Purpose

This procedure establishes how the Operations function reviews aggregate operating performance — engagement throughput, utilization, cycle time, and turnaround — against defined targets, so that resourcing, scheduling, and workflow decisions are grounded in measured results rather than assumption.

2. Scope

Covers operations-level KPI collection, reconciliation, review, and corrective routing for the service delivery pipeline across all engagements. Excludes department-specific KPI reviews (marketing/business-development metrics under MD-030, quality-conformance metrics under QC-030, and service-delivery/client-outcome metrics under SD-030); the scope here is operations measures only.

3. Responsibilities

- Operations Manager — owns the review cycle, sets and maintains target thresholds, and approves corrective actions.
- Operations Analyst — compiles KPI data from practice/engagement management and timekeeping systems, reconciles source records, and prepares the review packet.
- Supervising Licensed Professional — validates that any performance interpretation affecting billable or regulated work is consistent with professional and licensing obligations.

4. Required PPE & Lockout/Tagout

- Standard facility PPE; none specific to this administrative task.
- Not applicable — no hazardous energy involved.

5. Regulatory References

- None sector-specific to operational KPI review; internal policy governs the metric framework. Data handled in the review is subject to generally applicable obligations, e.g., confidentiality duties under the applicable state licensing board's rules of professional conduct, FTC Standards for Safeguarding Customer Information (16 CFR Part 314) where the firm handles covered financial data, and records-retention terms in client engagement agreements. Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Confirm the current review period and verify that target thresholds for each operations KPI are documented and approved by the Operations Manager.
2. Extract KPI source data from the practice/engagement management system, timekeeping records, and hosted data platforms (see NAICS 518210) for the period under review.
3. Reconcile extracted figures against underlying records; flag any gaps, duplicate entries, or unposted time before analysis.
4. Calculate each operations KPI (utilization, average engagement cycle time, on-time turnaround rate, backlog/aging) and compare each to its target.
5. Identify variances beyond tolerance; annotate probable drivers (staffing, intake volume, system availability, workflow bottlenecks).
6. Convene the review with the Operations Manager and Supervising Licensed Professional; confirm that any interpretation touching regulated work respects confidentiality and licensing obligations.
7. Assign corrective actions with owners and due dates for each out-of-tolerance KPI; route department-specific findings to their owning module rather than acting on them here.
8. Document the review, decisions, and action items in the operations record and retain per the firm's retention schedule.

8. Decision Tree

OD-028 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Operational KPI Review

START — THIS PROCEDURE ESTABLISHES HOW THE OPERATIONS FUNCTION REVIEWS AGGREGATE OPERATING PERFORMANCE — ENGAGEMENT THROUGHPUT, UTILIZATION, CYCLE TIME, AND TURNAROUND — AGAINST DEFINED TARGETS, SO THAT …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log the variance in the review record and continue; monitor in the next cycle

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to safety, compliance, output, or service — not an immediate hazard

ACTION

hold the affected KPI conclusion, escalate to the Operations Manager, and resolve the data or performance issue before the review is finalized

ESCALATE TO

Operations Manager

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

KPI review relied on data that breaches client confidentiality or misstates performance in a way that could drive a resourcing decision violating professional/licensing obligations

ACTION

immediately suspend distribution of the review packet, notify the Supervising Licensed Professional and Operations Manager, and correct before any decision is made or figures are released

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Source data reconciled to underlying records before any KPI is calculated.
- Every KPI compared to a documented, approved target — no undefined thresholds.
- Department-specific findings routed to MD-030 / QC-030 / SD-030, not resolved here.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Target thresholds documented and approved for period		
Source data extracted from all required systems		
Figures reconciled; gaps/duplicates cleared		
Each KPI compared to its target		
Variances annotated with probable drivers		
Corrective actions assigned with owner and due date		
Review documented and retained per schedule		

11. KPIs

- Review completed within 5 business days of period close — target ≥ 95% of cycles.
- Data reconciliation exceptions resolved before finalization — target 100%.
- Corrective actions closed by assigned due date — target ≥ 90%.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
1.0	2026-07-27	Generated to the locked 3-page Free/$99 Standard standard for PROFESSIONAL_SERVICES.	Archetype Content Team

OD-029 — Operational Records Retention & Documentation Audit

Estimated completion time: 3–5 hours per audit cycle (per engagement file set or per quarter)

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To confirm that operational records generated during client engagements — engagement letters, work product, billing and disbursement records, deliverable sign-offs, and system access logs — are complete, accurate, and retained for the required period so the firm can evidence its work, meet retention obligations, and support any professional or client inquiry.

2. Scope

Covers the periodic audit of operational and engagement records held in the firm's document/matter management systems and hosted data platforms across all service lines. Excludes quality records (see QC-029), safety records (see SD-029), and HR/personnel records (see HR-029), which are audited under their owning modules.

3. Responsibilities

- Operations Records Custodian — maintains the retention schedule, runs the audit sample, logs findings, and initiates corrective actions.
- Supervising Licensed Professional — verifies engagement-record completeness and accuracy for their matters and authorizes any record release or destruction.
- Operations Manager — reviews audit results, approves retention/destruction actions, and escalates unresolved compliance findings.

4. Required PPE & Lockout/Tagout

- Standard facility PPE — none beyond normal office conditions.
- Not applicable — no hazardous energy involved. Records are handled under access-control and confidentiality safeguards rather than physical lockout.

5. Regulatory References

- IRS Circular 230 §10.28 (return of client records) and 26 U.S.C. §6107 / §6695 — recordkeeping obligations applicable to tax and preparer functions (e.g., tax preparation, CPA, payroll lines).
- Gramm-Leach-Bliley Act Safeguards Rule, 16 CFR Part 314 — protection and retention of nonpublic client financial information held by professional-service firms.
- Applicable state licensing-board recordkeeping and file-retention rules governing each service line's client records.
- Internal Records Retention & Confidentiality Policy — governs schedules where no single sector-specific rule spans all service lines.

- Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow

7. Step-by-Step Procedure

1. Confirm the current retention schedule by record type (engagement letters, work product, billing/disbursement, deliverable sign-offs, access logs) and the required minimum retention period for each service line.
2. Select the audit sample from the document/matter management system and hosted data platforms, covering active, closed, and destruction-eligible records.
3. Verify each sampled record is complete — required signatures, dates, engagement identifiers, and version history present.
4. Verify accuracy — record content matches the underlying engagement and financial entries; no mismatched client, matter, or date fields.
5. Confirm retention integrity — records are stored in the designated system, backed up per the hosting arrangement, and access-restricted to authorized personnel.
6. Identify records past their retention period; flag for authorized destruction and confirm confidential-destruction method is documented.
7. Classify any deficiency by severity per Section 8 and route for correction; re-verify corrected records.
8. Document audit scope, sample, findings, corrective actions, and destruction authorizations in the audit log and obtain supervisor verification.

8. Decision Tree

OD-029 · OPERATIONS · PROFESSIONAL SERVICES

Decision Tree — Operational Records Retention & Documentation Audit

START — TO CONFIRM THAT OPERATIONAL RECORDS GENERATED DURING CLIENT ENGAGEMENTS — ENGAGEMENT LETTERS, WORK PRODUCT, BILLING AND DISBURSEMENT RECORDS, DELIVERABLE SIGN-OFFS, AND SYSTEM ACCESS LOGS — ARE …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION
no safety, compliance, or service impact

ACTION
Log in the audit record with a note and continue; correct at routine reconciliation

ESCALATE TO
No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION
material risk to safety, compliance, output, or service — not an immediate hazard

ACTION
Place the affected records on hold, escalate to the Operations Manager, and resolve (locate, complete, or correct the record) before the audit is closed or any destruction proceeds

ESCALATE TO
Operations Manager

Timing: resolve before the work proceeds

CRITICAL

DEFINITION
irretrievable loss, unauthorized destruction, or breach of confidential client records subject to a mandatory retention or litigation-hold obligation

ACTION
Immediately suspend all destruction activity, preserve remaining records and access logs, and notify the Operations Manager and Supervising Licensed Professional for compliance-counsel and client-notification determination

ESCALATE TO
Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

No finding
Activity stands. Complete the checklist and continue.

Minor
Handled in place at task level; no escalation.

Major
Supervisory decision required before the next stage.

Critical
Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- Retention schedule confirmed current and applied to every sampled record type.
- Sample includes active, closed, and destruction-eligible records across service lines.
- All destruction actions carry documented authorization and confidential-disposal method.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Retention schedule current and version-controlled		
Sampled records complete (signatures, dates, IDs)		
Record content accurate vs. engagement/billing data		
Records stored in designated system and backed up		
Access restricted to authorized personnel		
Destruction-eligible records properly authorized		
Findings logged and corrective actions closed		

11. KPIs

- Record completeness rate ≥ 98% of sampled records.
- Retention compliance (records held for required period) = 100%.
- Unauthorized or undocumented destructions = 0 per audit cycle.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

VERSION	DATE	DESCRIPTION	AUTHOR
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OD-030 — End-of-Shift / End-of-Day Operations Closeout

Estimated completion time: 30–60 minutes

> Provided for general informational and operational purposes as part of the Professional Services archetype library. Does not constitute a certified safety program. Verify all regulatory references and equipment-specific tolerances with a qualified engineer or safety professional before implementation.

1. Purpose

To secure the operating period at close: lock down client files and workspaces, reconcile the day's work product and any client-fund or billing activity, back up and verify data systems, and produce a clean record so the next operating period can begin without loss, exposure, or ambiguity.

2. Scope

Covers all end-of-shift/end-of-day securing, reconciliation, backup, and documentation activities across the Operations department of a Professional Services firm. Excludes opening/start-of-period setup (see OD-001) and the person-to-person shift handover briefing (see OD-002), which are authored in their own modules.

3. Responsibilities

- Operations Lead — owns the closeout, verifies reconciliation and backup completion, signs the daily closeout record.
- Supervising Licensed Professional — confirms client-facing work product and any client-fund or trust-ledger entries are complete and accurate before the period is closed.
- IT/Systems Coordinator — confirms backup jobs to the hosting provider completed and verified, and that workstations and access points are secured.

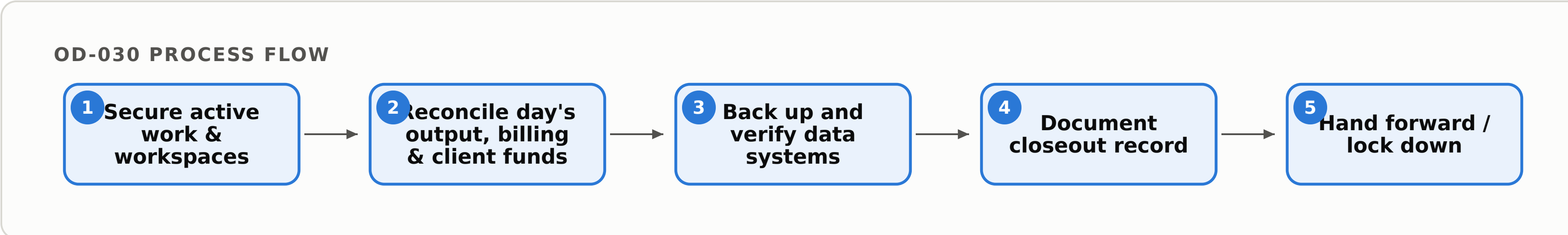
4. Required PPE & Lockout/Tagout

- Standard facility PPE only (none beyond ordinary office conditions).
- Not applicable — no hazardous energy involved. "Securing" here means logical and physical access control (log-off, encryption at rest, locked file storage), not lockout/tagout of machinery.

5. Regulatory References

- FTC Safeguards Rule, 16 CFR Part 314 (information security program for client financial/personal data).
- IRS Publication 4557 / FTC Standards for Safeguarding Customer Information (recordkeeping and data-protection duties applicable to firms handling client financial information).
- Applicable state data-breach notification and records-retention statutes; the firm's professional confidentiality duty under the applicable state licensing board's rules of practice (e.g., attorney/CPA/notary confidentiality obligations).
- Note: confirm applicability of sector-specific standards and any state-plan equivalents for this facility before customer-facing release.

6. Process Flow



7. Step-by-Step Procedure

1. Confirm all active client files, engagement documents, and deliverables are saved to the managed system and closed out of local sessions; no work product left open on unattended workstations.
2. Secure physical client materials — originals, signed instruments, and confidential documents returned to locked storage; clear desks and shared surfaces of client-identifying information.
3. Reconcile the day's work product: verify time entries, billing/invoicing activity, and any client-fund or trust-ledger transactions balance against source records; flag discrepancies.
4. Verify system backups to the hosting provider have run for the period and confirm a successful, restorable state (spot-check the job log, not just the start).
5. Log off and secure all workstations, servers, and remote-access sessions; confirm encryption at rest is active and no credentials remain exposed.
6. Physically secure the facility work areas under Operations control — file rooms, storage, and any devices remaining on-site (where the service line operates vehicles or field devices, confirm those are secured or accounted for).
7. Note any incomplete items, pending client actions, or open risks for carry-forward (record only — the handover briefing itself is OD-002).
8. Complete and sign the daily closeout record, capturing reconciliation status, backup verification, and any flagged findings.

8. Decision Tree

Decision Tree — End-of-Shift / End-of-Day Operations Closeout

START — TO SECURE THE OPERATING PERIOD AT CLOSE: LOCK DOWN CLIENT FILES AND WORKSPACES, RECONCILE THE DAY'S WORK PRODUCT AND ANY CLIENT-FUND OR BILLING ACTIVITY, BACK UP AND VERIFY DATA SYSTEMS, AND PRODUCE A …

Issue identified during this procedure?

Complete the checklist and close out the procedure

END — NO FINDING, ACTIVITY CONTINUES

YES

Classify severity

Assign the highest severity that applies — not the first that matches.

MINOR

DEFINITION

no safety, compliance, or service impact

ACTION

log it on the closeout record and continue; route to the Operations Lead for next-period follow-up

ESCALATE TO

No escalation — handled at task level

Timing: resolve in the moment; work proceeds

MAJOR

DEFINITION

material risk to compliance, output, or service — not an immediate exposure

ACTION

hold the affected work item unclosed, escalate to the Operations Lead and Supervising Licensed Professional, resolve the reconciliation or backup gap before the period is closed

ESCALATE TO

Operations Lead and Supervising L

Timing: resolve before the work proceeds

CRITICAL

DEFINITION

confirmed loss, exposure, or unauthorized access to client confidential data or client funds (e.g., failed/unrestorable backup, missing client originals, or a breach)

ACTION

do not close the period; immediately notify the Supervising Licensed Professional and IT/Systems Coordinator, invoke the incident-response and breach-notification procedure, and preserve all evidence

ESCALATE TO

Supervisor

Timing: immediate — halts the activity

Record the finding, the action taken, and the verification

Close the item only once the corrective action is verified and the record is complete.

ACTIVITY RELEASED / CLOSED

READING THIS TREE

- **No finding** — Activity stands. Complete the checklist and continue.
- **Minor** — Handled in place at task level; no escalation.
- **Major** — Supervisory decision required before the next stage.
- **Critical** — Activity halts on the spot; escalation is immediate.

9. Quality Checkpoints

- All client work product saved to the managed system and all local sessions closed.
- Day's billing, time, and any client-fund/trust entries reconciled with no unexplained variance.
- Backup job to the hosting provider confirmed complete and restorable.
- Zero unresolved Critical findings.

10. Inspection Checklist

ITEM	PASS / FAIL	NOTES
Active client files saved and local sessions closed		
Physical client originals/documents in locked storage		
Billing/time reconciliation balanced		
Client-fund / trust-ledger entries reconciled (where applicable)		
Data backup completed and verified restorable		
Workstations, servers, remote sessions logged off/secured		
Closeout record completed and signed		

11. KPIs

- Backup verification rate: 100% of operating days with a confirmed restorable backup.
- Reconciliation completeness: 100% of days closed with zero unexplained variance carried past close.
- Closeout record on-time completion: ≥ 98% of operating days closed with a signed record same day.

12. Supervisor Verification

Printed Name: ____________________ Signature: ____________________ Date: ______________

13. Revision History

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