

INCIDENT-RESPONSE- MATRIX

Layer 1 Root Canonical File 4 of 5 — The Dash / NornGate at SBS

Purpose

SEV classification and per-track runbooks for the fleet. Every agent’s escalation path references this file. Incidents span all five gates and end in Hel’s DLQ — which sits outside the pipeline — so this file is anchored to failure surfaces, not to a single gate.

Severity Classes

- **SEV-1 — Critical.** Gate breach; sandbox containment escape; financial misstatement risk reaching the books; statutory/FCC deadline breach in progress; unapproved external send — above all, any suspected MNPI release; any attempted LaMusica boundary crossing. Immediate human notification (IT Director + duty approver). Fleet holds affected scope.
- **SEV-2 — High.** Blocked policy-violation attempts; DLQ flood; repeated G3 validation failures; model drift beyond threshold; stale knowledge served as fresh.
- **SEV-3 — Moderate.** Single-agent degradation; reconciliation break clusters; schedule misses without statutory exposure.
- **SEV-4 — Low.** Transient failures cleared by policy-bound retry; cache staleness caught before service.
- **SEV-5 — Informational.** Anomalies logged for pattern review; no action required.

The Six Tracks

Track	Surface	Lead	Engaged
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A — Cyber / Infrastructure	Gate breach, containment escape, anomalous ingress	Heimdall	Vidar (containment), Loki (verification), Tyr (credential freeze)
B — Financial / Reporting	Reconciliation break reaching records; SOX exposure	Sif	Njord (flow halt), Thor (execution halt)
C — Communications / Disclosure	Unapproved send; MNPI escape; AI-disclosure failure	Baldr	Bragi (content), Freyja (contact scope)
D — Compliance / Policy	Shadow permit; policy violation; gate misuse	Tyr	Forseti (arbitration), Heimdall (evidence)
E — Operational Continuity	DLQ flood; missed statutory/FCC clock; scheduler failure	Hel	Frigg (co-lead, statutory clocks)
F — Model / Knowledge Integrity	Drift; ungated deployment; stale-as-fresh service	Idunn	Mimir (knowledge integrity)

Odin is the escalation terminus for all tracks — replanning under incident conditions. Forseti routes every human decision through G2. All human escalation lands with the IT Director (duty approver per the Single-Maintainer-Appendix).

Runbook Examples

- SEV-1 + Track A (gate breach / sandbox escape):** Heimdall severs and leads; Vidar destroys the affected environment; Tyr freezes implicated credentials fleet-wide; Loki verifies the hole; IT Director notified immediately; breach treated as system failure, never as Loki success.
- SEV-1 + Track C (suspected MNPI send):** Baldr halts all outbound; Bragi’s pipeline frozen at G3; human review before any further sends; Reg FD posture invoked — counsel loop before resumption.
- SEV-2 + Track E (DLQ flood):** Hel classifies and holds; Frigg suspends dependent schedules and flags statutory exposure; pattern analysis to Idunn and Odin; no silent retries.
- SEV-1 + Track D (shadow permit suspected):** Tyr freezes, Forseti arbitrates, Muninn’s record preserved immutable for review; the gate logs are the evidence — Urd seals them.

Post-Incident Discipline

Every incident closes with: Hel’s classification record, Urd’s sealed audit trail, a post-incident review filed against this matrix, and — where the cause is systemic — a modification proposal routed through Asgard Policy Review. No incident closes by silence.

Authoritative For

Incident classification; escalation routing; runbook reference during active incidents; post-incident review and audit-trail closure.

What's Not Here

Prevention policy (Tyr's domain / Ethics-Foundations); boundary definitions (NornGate-Architecture); approval-authority structure (Single-Maintainer-Appendix).

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db35...2bcf · Sealed under Audit-Trail-Spec § 8.2. Modification authority: SBS Board / IT
Governance via Asgard Policy Review (Governance-Gate); revalidation propagates per Tyr-SKILL §
3.4.

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