

CONTROLS

What to do when a check fails

Last verified against build: dev_rc1_20261005 (development copy, release candidate 3.2.0-RC1, store design), 2026-10-05.

ControlPanel shows the 27 checks of tblControl. OK = nothing to do. REVIEW = a BLOCKING (or REVIEW-severity) check failed: the close gate stays closed until it is fixed or, where allowed, explained (column Explanation: what, why, who approved; stamped with your name, the time and the period; cleared at the close and kept in the controls file). ADVISORY = amber, never blocks, listed in the closing pack. The Finding column says what is wrong in this month's data; the Action column (bilingual for the 3.2 checks) says where to look. The texts are in MESSAGE_CATALOGUE.md.

Explain? Yes = a REVIEW may be accepted with an explanation; No = fix it. Six of the "No" checks are enforced by the platform since 3.2.0-RC1: while RESTATEMENT, ARCHIVE_INTEGRITY, COLUMNMAP_LOCK, LOG_INTEGRITY, PRIVACY or FILES_UNEXPECTED is REVIEW the close gate stays BLOCKED whatever the explanation (message GATE_HARD_REVIEW). For the other "No" checks an explanation would technically open the gate, but the owner treats the check as a hard stop.

#	CheckID	Fails when	Preparer	Reviewer	Administrator	Explain?
1	STG_CURRENT	Staging was not refreshed by Home > Refresh for this period and folder	Home > Refresh (never Data > Refresh All)	Refresh before reading	-	No
2	FILES_EXPECTED	An expected company has no file and no nil return	Chase the file, or record the written nil return (tblNilReturn)	-	Correct the company's window if it no longer reports	Yes, rarely (e.g. agreed late delivery)
3	FILES_DUPLICATE	Two files for one company-month	Ask which copy is valid; have the other removed	-	-	Yes, if both are deliberate (both are stored)
4	FILES_NEARMISS	A file of the active delivery breaks the name pattern or its company ID differs from a listed one only by leading zeros	Have the file renamed (COMPPAY.xlsx, ID exactly as listed)	-	Never add the zero-padded ID as a company	No
5	FILES_UNEXPECTED	A matched file belongs to a company not expected this month	Report it	-	Add the company / correct its window (Admin_Guide 14), or take the file out of the delivery folder	No (enforced since 3.2.0-RC1: its lines fail the store whitelist, so Close would refuse the month)
6	RECON	Model total and independent total differ beyond the tolerance (company x currency, original currency)	Check the Recon row (currency, total, basis); ask the company	Agree the explanation	-	Yes, with the approved difference

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7	CHRONOLOGY	A line's dates decrease along the chain (loss <= notification <= decision <= payment)	STG_ActiveFact ChronoViolation = 1 (via an Administrator) or AN_RawView; ask the company	-	-	Yes, if the company confirms the dates
8	DUP_KEYS	A business key repeats (in this month or against a stored month)	Ask the company whether it is a duplicate or a reversal / instalment	-	-	Yes, for confirmed reversals / repeats
9	FX_RATES	A foreign-currency line has no CBRT rate	Report it	-	Fetch (FXAutoFetch) or type the rate (Admin_Guide 8)	No
10	FX_FETCH	A CBRT bulletin failed or the rates end before the latest payment date	Report it	-	Retry; manual FX if the CBRT is unreachable	No
11	DATES	A payment date outside the file's period or a date outside DimDate	Ask the company (wrong period, typo)	-	-	Yes, if confirmed (e.g. a late booking)
12	MAPPING_DQ	Unmapped header, missing core column, conversion error	Report STG_DQ items	-	Classify headers (unlock, ColumnMap, lock, Rebuild store if a model field changes)	No for core columns
13	OUTLIERS	A line >= OutlierThresholdTRY	Confirm each large payment with the company or the claims file (AN_RawView)	Agree	-	Yes, after confirmation
14	PRIVACY	A personal-data field reached the staging output	Stop; do not distribute anything	Do not close	Set PersonalData = Y on the dictionary row, Refresh; inform the Data Protection Officer	No
15	ARCHIVE_COMPLETE	A month between ArchiveStartPeriod and the active month has no CURRENT stored batch	-	-	Backfill (installation) or close the missing month; check ArchiveStartPeriod	No
16	ARCHIVE_INTEGRITY	The store file, the ArchiveLog chain or the model totals differ from what was recorded	Stop	Do not close	STORE_RUNBOOK.md (Verify log first)	No
17	ACTIVE_OPEN	The active period is already stored	-	-	ActivePeriod is wrong: correct it (Setup) or re-open deliberately	No
18	COMPLETENESS	An expected company has neither data nor a nil return in a stored month	-	-	Re-open the month to add the file or nil return, or correct the company's window	Yes, for an agreed gap
19	DICTIONARY	The column dictionary breaks one of its health rules	Report it	-	Fix the ColumnMap rows (Dictionary health block)	No
20	COLUMNID_VERIFIED (ADVISORY)	ColumnIDs not verified against the official schema	-	Listed in the closing pack	Verify selected ColumnIDs when the data owners provide the schema (A1)	(advisory)
21	REFDATA	Duplicate or invalid FX rates, invalid company rows	Report it	-	Fix tblFXRate / tblDimCompany	No

#	CheckID	Fails when	Preparer	Reviewer	Administrator	Explain?
22	POLICY_OPEN	A DecisionRegister item is Open	-	-	The owner decides; set the status	No
23	FOUR_EYES	FourEyesRequired = N (waiver)	-	Note the waiver in the close comment	Switch it back to Y when the waiver ends	Yes (the waiver is logged HIGH)
24	LOG_INTEGRITY	The ActivityLog chain is broken or an external log file is missing / different	Stop	Do not close	Compare with the ACT_*.csv files; inform IT Security; restore from backup if the chain is broken	No
25	RESTATEMENT	A cumulative file changed a stored month (rows or gross)	Report it (STG_Restatement)	Do not close	Decide: re-open the month or have the company correct the file (CUMULATIVE_COMPANY.md)	No
26	COMPANY_CHANGES (REVIEW)	A delivering company is not listed, or delivers in the wrong mode	Report it	-	Add the company (SourceMode) or correct SourceMode; or have the file removed	Yes, if the file is deliberately out of scope
27	COLUMNMAP_LOCK	The column map is not locked, or changed after the lock	Stop	Close is refused anyway	Restore the approved rows, or unlock / change / lock / Rebuild store (Admin_Guide 15)	No (Close, Backfill and Rebuild store refuse to run regardless)