

FinternetOps

Enterprise Governance Kit

AI & AgentOps for Regulated Financial Systems

Evidence. Explainability. Control.

What this kit is

A procurement-safe, audit-safe governance package for operating AI and agent systems in regulated financial environments.

Includes decision framework, operating model, templates, checklists, scenarios, and filled examples.

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1. Executive Governance Brief

Purpose

Enable executive leadership to determine whether an AI/agent system can be operated, audited, and scaled without unacceptable risk.

The governance reality

Most enterprise AI initiatives fail after deployment because governance is missing: evidence trails, ownership clarity, drift prevention, and change control. FinternetOps treats agents as operational systems, not experiments.

Executive decision summary

| Approve when... | Block / pause when... |
|---|---|
| Evidence packs and narratives are produced automatically. | Evidence must be reconstructed manually. |
| Ownership is explicit across Ops, Risk, Compliance. | Ownership is disputed or unclear. |
| Agent behavior is governed (specs, RBAC, versioning). | Agents drift silently or change without approval. |
| Stop/rollback authority is defined and tested. | No safe rollback or kill-switch exists. |

1A. Executive Decision Table (Visual Wireframe)

Scan time ~60 seconds. Decide: Approve / Conditional / Block.

| | |
|---|---|
| Operational Truth PASS: timestamped, attributable reality. FAIL: conflicting logs. | Evidence Generation PASS: artifacts by default. FAIL: manual reconstruction. |
| Explainability PASS: plain-English narrative. FAIL: technical outputs only. | Ownership PASS: named owners + escalation. FAIL: unclear responsibility. |
| Agent Control PASS: specs/guardrails/RBAC enforced. FAIL: unmanaged agents/drift. | Change Control PASS: approvals + versioning + rollback. FAIL: silent updates. |
| Monitoring PASS: actionable thresholds + routing. FAIL: alert noise. | Audit Readiness PASS: artifacts retrievable on demand. FAIL: scramble to prepare evidence. |

2. Governance Operating Model

RACI, cadence, and authority boundaries.

| Function / Artifact | Ops | Risk | Compliance | Executive |
|---------------------------|-----|------|------------|-----------|
| Agent Specification | R | C | I | A |
| Guardrail Definition | C | R | C | A |
| Monitoring Thresholds | R | C | I | A |
| Evidence Pack Review | I | C | R | A |
| Narrative Approval | I | C | R | A |
| Change Approval | R | C | C | A |
| Deployment / Scale | R | C | C | A |
| Stop / Rollback Authority | I | C | C | A |

| Cadence | Artifact | Audience |
|-----------|----------------------------|-------------|
| Real-time | Alerts & incidents | Ops |
| Daily | System health summary | Ops |
| Weekly | Governance brief | Exec + Risk |
| Monthly | Control & evidence review | Compliance |
| Quarterly | Stress scenarios & posture | Exec |

3. Evidence & Artifact Templates

Copy/paste ready artifacts for audit and governance review.

| Field | Value |
|------------------------|--|
| Evidence Pack ID | AUTO-GENERATED |
| Event Classification | <input type="checkbox"/> Monitoring <input type="checkbox"/> Incident <input type="checkbox"/> Stress <input type="checkbox"/> Change Request |
| Timestamp (UTC) | |
| Source Agent + Version | |
| Impacted Process | |
| Severity | <input type="checkbox"/> Low <input type="checkbox"/> Medium <input type="checkbox"/> High |
| Controls Executed | Guardrails <input type="checkbox"/> Pass/ <input type="checkbox"/> Fail RBAC <input type="checkbox"/> Pass/ <input type="checkbox"/> Fail Halt <input type="checkbox"/> Yes/ <input type="checkbox"/> No |
| Risk Snapshot | Exposure <input type="checkbox"/> Yes/ <input type="checkbox"/> No Residual <input type="checkbox"/> Acceptable/ <input type="checkbox"/> Elevated/ <input type="checkbox"/> Critical |
| Artifacts | log://... metric://... version hash config checksum |

Governance Narrative (template)

- 1. What Happened** — plain-English description.
- 2. Why It Matters** — business/operational/regulatory relevance.
- 3. What Changed** — actions taken.
- 4. Status** — Resolved Ongoing Escalated
- 5. Required Action** — None Monitor Approve Change Executive Decision
- 6. Next Review Date**

4. AgentOps Control Checklist

| Control Domain | Mandatory checks |
|----------------|---|
| Specification | Purpose, scope, inputs, outputs, escalation |
| Guardrails | Action limits, thresholds, fail-safe, kill switch |
| RBAC | Unique identity, least privilege, credential handling |
| Logging | Execution logs, decision context, metrics, routing |
| Change Control | Versioning, approvals, rollback, deployment record |

Rule

Any mandatory failure blocks deployment, scaling, or white-label delivery.

5. Practical Governance Scenarios

| Scenario | Trigger | Controls | Decision |
|----------------------|-----------------------------|-------------------------------|---------------------------------|
| Settlement exception | Delay exceeds tolerance | Halt + evidence + escalation | Exec approves resume/escalation |
| Liquidity stress | Scenario breaches threshold | Evidence + posture calc | Exec accepts/adjusts/suspends |
| Behavior drift | Output deviates from spec | Guardrails + block + rollback | Correct/rollback/decommission |

6. Pilot & Adoption Guide

| Phase | Scope | Outputs |
|---------------------------|--|--|
| Week 1 — Setup | Select 1–3 agents, approve specs, enable monitoring | Baseline evidence + routing tests |
| Weeks 2–3 — Validate | Run supervised, generate evidence packs & narratives | Weekly governance review + remediation lists |
| Week 4 — Executive Review | Review artifacts, posture, escalation effectiveness | Scale / adjust / stop decision |

Appendix A — Filled Evidence Pack Example

| Field | Value |
|------------------|---|
| Evidence Pack ID | EP-2026-01-SETTLE-0047 |
| Event ID | EVT-SETTLE-0047 |
| Timestamp (UTC) | 2026-01-11 14:37:22 |
| Source Agent | Settlement Monitoring Agent v1.3.2 |
| Impacted Process | T+0 tokenized settlement — Counterparty C |
| Controls | Guardrails PASS; RBAC PASS; Halt YES; Escalation YES; Change Lock YES |
| Risk | Exposure YES; Impact <\$250,000; Residual Acceptable |

Appendix B — Filled Governance Narrative Example

GN-2026-01-SETTLE-0047 (linked to EP-2026-01-SETTLE-0047)

What happened: Settlement latency exceeded tolerance for Counterparty C in a T+0 tokenized settlement flow involving Token ABC.

Why it matters: Prevents counterparty and liquidity exposure from compounding; preserves auditability.

What changed: Downstream halted; RBAC validated; evidence pack generated; escalated; change lock applied.

Status: Resolved. Executive approved resumption with heightened monitoring for 24 hours.

Appendix C — Printable AgentOps Checklist

| Domain | Checks | Pass/Fail |
|---------------|--|---|
| Specification | Purpose, scope, inputs, outputs, escalation | <input type="checkbox"/> Pass <input type="checkbox"/> Fail |
| Guardrails | Limits, thresholds, fail-safe, kill switch | <input type="checkbox"/> Pass <input type="checkbox"/> Fail |
| RBAC | Identity, least privilege, credential handling | <input type="checkbox"/> Pass <input type="checkbox"/> Fail |
| Logging | Logs, decision context, metrics, routing | <input type="checkbox"/> Pass <input type="checkbox"/> Fail |
| Change | Versioning, approvals, rollback, record | <input type="checkbox"/> Pass <input type="checkbox"/> Fail |

Appendix D — Executive Approval & Sign-off Form

| Field | Value |
|----------------------|--|
| Program / Initiative | _____ |
| Agents + Versions | _____ |
| Environment | <input type="checkbox"/> Prod <input type="checkbox"/> Staging <input type="checkbox"/> Test |
| Decision | <input type="checkbox"/> Approve <input type="checkbox"/> Approve w/ conditions <input type="checkbox"/> Block |
| Conditions / Notes | _____ |