Risk and compliance agents on Katonic: the list

35 agents across nine areas, for the second line and its work with internal audit

A risk and compliance department's work runs through its policies, its risk register, its control library and test records, its incident and breach logs, its registers of third parties, and the rules and guidance that apply to the organisation. Every agent reaches them in one of four ways, all through the same tool gateway and the same approval rules:

	HOW EACH AGENT CONNECTS
01	**A file the user uploads** in the conversation: a new rule or a consultation paper, a control test file, an incident report, a supplier's questionnaire, an export of the risk register.
02	**A knowledge source.** Policies and procedures, the control library, the obligation register, past audit reports, regulatory correspondence and committee papers are indexed in the Knowledge Engine, with each reader's permissions kept.
03	**An imported API.** The organisation gives Katonic the description of an API it already runs, and the operations it chooses become tools. This is the route to systems of record: the risk and control system, the incident log, the case system, the training system, a regulator's or a legislature's public service.
04	**An MCP server from the catalogue,** deployed inside the organisation's own cluster. This is the route to document stores, tickets, reporting databases and web search.

System names are left out on purpose. The organisation supplies the address and the sign-in. Nothing here is a tested integration with a named product.

THE NINE AREAS

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AREA 01

Regulatory change

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Regulatory Monitoring Agent	Reads new publications from the regulators the organisation follows, says which ones bear on it, and compares each with the policies it touches	Regulators' publications through web search or an imported API; policies as a knowledge source	A compliance officer decides what applies and what changes
Regulatory Change Impact Note Agent	For one new or changed rule, lists the policies, procedures and controls that refer to the same subject, with the passage in each, and what the rule asks that none of them covers	The rule as an uploaded file; policies, procedures and the control library as a knowledge source	The compliance officer decides the impact and assigns the changes
Obligation Register Draft Agent	Reads a rule and lists what it requires the organisation to do, by when, each with its paragraph	The rule as an uploaded file	The compliance officer confirms each entry before it enters the register
Consultation Response Draft Agent	Drafts the organisation's response to a consultation from the positions its own experts give, question by question, and marks the questions nobody has answered	The consultation paper and the experts' notes as uploaded files; past responses as a knowledge source	The head of compliance approves and sends the response

AREA 02

Policies

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Policy Q&A Agent	Answers a colleague's question from the organisation's own policies, cites the paragraph, and says when they are silent	Policies and procedures as a knowledge source	It informs from the written policy only. Anything beyond it goes to the compliance team
Policy Gap Check Agent	Compares a policy with a rule or a standard and lists each requirement the policy does not address, with the paragraph of the rule	The policy and the rule or standard, as uploaded files or a knowledge source	The policy owner decides what to change
Policy Update Draft Agent	Drafts the change to a policy that the owner has decided on, in the organisation's template, with the old and the new wording side by side	The policy; the owner's instruction; the template	The policy owner and the approving committee approve the policy
Attestation Follow-up Agent	Lists the people who have not attested to a policy by the date set, by team	The attestation records through an imported API or as a file	The compliance officer follows up. The agent sends nothing and attests for nobody

AREA 03

Risk register and assessments

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Risk Register Check Agent	Lists register entries with no owner, no linked control, an overdue review, or a rating older than the organisation's own review period	The risk register through an imported API or as a file	The risk owner updates each entry
Risk Assessment Preparation Agent	For a new product, process or change, prepares the assessment pack in the organisation's template: what it is, the risks the template asks about, the controls already in place and the open questions	The description as an uploaded file; the template, the control library and similar assessments as a knowledge source	The risk owner and the risk officer assess and rate the risk. The agent proposes no rating
Risk Indicator Report Agent	Prepares the report of the organisation's own risk indicators for a period, against their thresholds, with the record behind each figure	Indicator data through a reporting database or an imported API	The risk officer reviews and issues the report
Risk Event Summary Agent	Summarises a risk event from its record: what happened, when, the amount, the controls involved and the actions open	The event record and its attachments	The risk officer classifies the event and decides the actions

AREA 04

Controls and testing

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Control Test Preparation Agent	For a control test, gathers the evidence the test procedure asks for, sets it beside each step, and lists the steps with no evidence	The test procedure as a knowledge source; the evidence as uploaded files or through imported APIs	The tester performs the test and records the result. The agent gives no pass and no fail
Control Evidence Check Agent	Checks a piece of evidence against what the control description asks: the period, the population, the sign-off, and lists what does not agree	The evidence as an uploaded file; the control description	The tester decides whether the evidence is sufficient
Control Mapping Agent	Proposes which of the organisation's controls answer each requirement of a rule or a standard, with the passage on both sides, and lists the requirements with no control	The rule or standard; the control library	The control owner and the compliance officer confirm the mapping
Finding Follow-up Agent	Lists findings and actions that are overdue, or marked closed without the evidence the action asked for	The findings register through an imported API or as a file	The finding's owner acts. The compliance or audit team closes the finding

AREA 05

Incidents and notifications

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Incident Log Draft Agent	Drafts the entry for the incident log from the first report: what happened, when it was found, who is affected and what is not yet known	The report as a ticket or an uploaded file; the log template	The incident owner corrects and records the entry
Notification Deadline Check Agent	For an incident of a given kind, lists the notifications the organisation's own procedure names, to whom and within what time, counted from the time the incident was found	The incident record; the notification procedure as a knowledge source	The compliance officer decides whether the incident must be notified. The agent decides nothing and notifies nobody
Regulatory Notification Draft Agent	Drafts a notification in the form the regulator asks for, from the incident record, and marks every field the record does not fill	The incident record; the form and past notifications as a knowledge source	The accountable officer approves and files the notification
Breach Register Summary Agent	Summarises the breach register for a period: by kind, by cause and by business unit, with the breaches still open	The breach register through an imported API or as a file	The compliance officer reviews and reports

AREA 06

Third parties

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Third-Party Assessment Preparation Agent	Prepares the risk assessment of a third party from its answers and documents: what it will do, the data it will hold, the answers that are missing or at odds with the documents, and the follow-up questions	The questionnaire and its attachments as uploaded files; the assessment template	The risk officer assesses the third party and decides
Third-Party Register Check Agent	Compares the register of third-party arrangements with the contracts and lists entries with missing fields, expired contracts or no named owner	The register as a file or through an imported API; the contracts	The register owner corrects the entries
Questionnaire Answer Draft Agent	Drafts the organisation's answers to a customer's or a partner's due diligence questionnaire from its own approved answers and policies, and marks each question with no approved answer	The questionnaire as an uploaded file; the approved answers and policies as a knowledge source	The responsible officer approves and sends the answers

AREA 07

Conduct and cases

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Case Intake Summary Agent	Summarises a new conduct report for the case handler: what is alleged, when, and what the report leaves unclear. It proposes the category the procedure gives	The report through the case system, read by the handler who is entitled to see it	The case handler confirms the category and decides the next step. The agent does not try to identify a reporter
Investigation File Summary Agent	Summarises an investigation file: the allegations, the evidence gathered with its source, and the open points	The case file	The investigator draws the conclusions. The summary draws none about a person
Declarations Register Check Agent	Lists declarations of gifts, hospitality and outside interests that are late, missing or above the organisation's own limits	The declarations register through an imported API or as a file; the policy	The compliance officer reviews each case
Training Record Check Agent	Lists the people whose mandatory training is overdue or missing, by team and by course	Training records through an imported API or as a file	The compliance officer and the line managers follow up

AREA 08

Audit

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Audit Planning Pack Agent	Prepares the planning pack for an audit of a unit or a process: earlier findings, the risks on the register, incidents, changes since the last audit, each with its record	Past audit reports, the risk register and the incident log	The audit lead sets the scope and the plan
Evidence Request List Agent	Drafts the list of documents and data an audit will ask for, from the audit programme and the control descriptions	The audit programme; the control library	The auditor approves and sends the request
Working Paper Draft Agent	Drafts a working paper from the auditor's own test notes and the evidence: the objective, the work done, what was found, each tied to its evidence	The auditor's notes and the evidence as uploaded files; the working paper template	The auditor completes and signs the working paper. The agent adds no test and no conclusion the auditor did not record
Audit Finding Draft Agent	Drafts a finding in the organisation's format from the auditor's notes: the condition, the requirement, the cause and the effect as the auditor stated them	The auditor's notes and the evidence	The auditor rates and issues the finding

AREA 09

Reporting

AGENT	WHAT IT DOES	READS FROM	WHERE IT STOPS FOR A PERSON
Regulatory Return Preparation Agent	Prepares a regulatory return from the organisation's records in the regulator's form, and lists each figure that differs from the last period by more than the organisation's own threshold, with the records behind it	The source records through a reporting database; the form and the last return	The accountable officer reviews, approves and files the return
Committee Report Draft Agent	Drafts the risk or compliance report for a committee from the registers, the indicators and the open findings, in the committee's format	The risk register, the indicators, the findings and the last report	The chief risk or compliance officer approves the report
Compliance Plan Status Agent	Lists the reviews in the compliance plan that are done, late or not started, with the evidence on file for each	The compliance plan and the review records	The head of compliance decides the priorities
Document Generation Agent	Drafts reports and memos from the organisation's own documents, to its own outline	Documents as a knowledge source; the outline	A person reviews before export

	WHAT EVERY AGENT HAS IN COMMON
01	**It runs on the organisation's own infrastructure or private cloud,** with a model the organisation serves. Policies, registers, case files and regulatory correspondence stay there.
02	**Every tool call passes the organisation's policy.** A policy can allow a tool, record its use, hold it for a person's approval, or block it, for the whole organisation or for one team.
03	**A tool that changes something waits for approval** unless the organisation has decided otherwise for that tool. That is how no rating, test result, closed finding or filing happens on an agent's word.
04	**Read and change are separate tools.** When the organisation imports an API, it chooses which operations become tools. An agent that only needs to read is given the read operations and nothing else.
05	**Each statement shows its source.** An agent that compares or summarises gives the document and the paragraph, says what it could not read, and says when it found nothing. It does not fill a gap from memory.
06	**The agent acts as the person using it.** A knowledge source keeps each reader's permissions, so a colleague does not see through an agent a case or a finding they could not open themselves.
07	**Every call is recorded,** with who asked, which tool, and what was decided, and an agent, a tool or a whole server can be switched off at once.

WHERE TO START

Pick work where reading is slow, the judgement stays with an officer, and nothing reaches a regulator on the agent's word.

THREE PLACES THAT FIT

Policy Q&A

Colleagues ask what the policy says and get the answer with the paragraph cited. No register is touched, so it can run on day one.

Regulatory Change Impact Note

The agent lists the policies and controls a new rule touches. The compliance officer decides the impact.

Control Test Preparation

The agent sets the evidence beside each step of the test. The tester tests.

One team, one rule or one control, invented data first. Then beside the manual process, measured against it.

Each one prepares the work. A named officer decides.

About Katonic AI

Katonic AI builds the platform that organisations use to build, run and govern AI agents on their own infrastructure: in their own data centre, in a private or sovereign cloud, or with no connection to the internet at all. The platform is in production with governments, banks, telecom operators and utilities. Katonic is certified to ISO 27001.

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