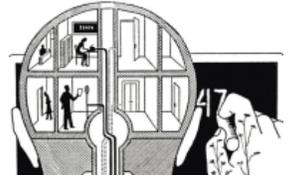**Automation of the governing documents workflow**
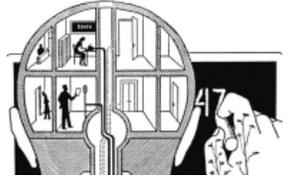'from authoring to audit'

THE VIRTUAL MIND

SO, WHAT IS THIS ABOUT THEN?

Deploying multi-orchestrated AI agents to automate the governing

documents workflow end-to-end

(from authoring to audit across the document hierarchy)

thereby delivering an unbroken chain of governance and proven compliance

through audit traceability for every regulatory requirement.

The authoring, editing, recurring reviews, and audits of governing documents is a highly time consuming and error prone process where the quality of the documents hinge upon five main factors:

1. The level of experience and expertise of the governing document authors, its reviewers and auditors,
2. The extent and details of cross-referencing governing documents not only vertically, but also horisontally and diagonally, seeking to identify and rectify (definitional) discrepancies, gaps, duplications and reasoning errors,
3. Time distortions due to lack of synchronization across the document hierarchy in the review-and-approval cycles leading to discrepancies and errors,
4. Requirements and definitions are compromised due to 'office politics',
5. Conflicting legal definitions, scope and concepts.

As a result, financial entities are ending up with scores of governing documents that mostly resemble a fragmented patchwork, rather than being orderly catalogued, structured and administered…
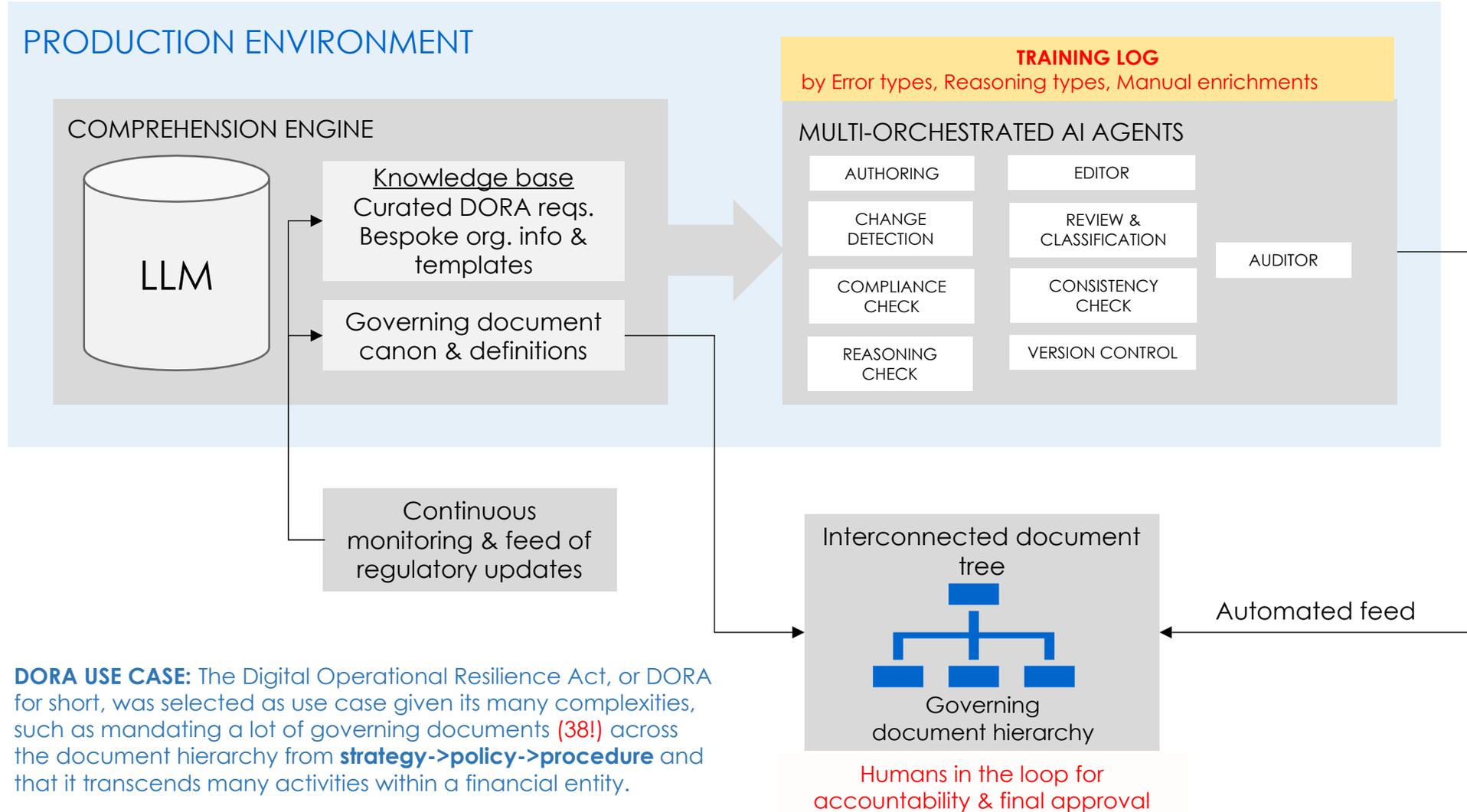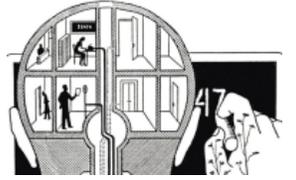
….and the problem keeps growing and growing, with DORA and the AI Act most recently expanding the list of governing documents, to the point that the finance is now arguably the heaviest regulated industry in the world.

Consequences?

When governing documents lack the prescribed cohesive unbroken chain of governance due to discrepancies, such as gaps, inconsistencies or outright errors, between (and within) documents, it,

- causes excessive red tape that impedes process performance and decision-making,
- leads to unnecessarily high costs of doing business (money, time, resources), and,
- brings about regulatory problems caused by unintentional non-compliance that might render in interventions and sanctions by financial authorities.

ARCHITECTURE - GRAPHICAL OVERVIEW

PRODUCTION ENVIRONMENT

COMPREHENSION ENGINE

LLM

Knowledge base
Curated DORA reqs.
Bespoke org. info &
templates

Governing document
canon & definitions

Continuous
monitoring & feed of
regulatory updates

TRAINING LOG
by Error types, Reasoning types, Manual enrichments

MULTI-ORCHESTRATED AI AGENTS

AUTHORING	EDITOR
CHANGE DETECTION	REVIEW & CLASSIFICATION
COMPLIANCE CHECK	CONSISTENCY CHECK
REASONING CHECK	VERSION CONTROL

AUDITOR

Interconnected document tree

Governing
document hierarchy

Humans in the loop for
accountability & final approval

Automated feed

DORA USE CASE: The Digital Operational Resilience Act, or DORA for short, was selected as use case given its many complexities, such as mandating a lot of governing documents (38!) across the document hierarchy from **strategy->policy->procedure** and that it transcends many activities within a financial entity.

ENSURING AND DEMONSTRATING COMPLIANCE THROUGH AN UNBROKEN CHAIN OF GOVERNANCE

Authoring is merely one part of the governing document process, ensuring compliance and making sure that documented checks and controls and audit trails are in place is an enormously time consuming and error prone part. As is establishing consistent governance and compliance across the governing document hierarchy.

Regulatory requirements embedded from inception
All documents are structurally constrained to Strategy → Policy → Procedure. Each regulatory requirement must map to exactly one layer. Mandatory regulatory requirement traceability.

Controlled definitions and semantic integrity
All defined terms come from a canonical definition set.
Undefined or conflicting terms are highlighted and blocked requiring intervention
Structural and logical consistency checks
Automated validation enforces mandatory sections, hierarchy alignment, and cross-reference integrity.

Outcome: Compliance is established systematically and will not rely on undocumented and inconsistent interpretations.

Segregation of duties enforced structurally
Authoring, review (1LoD/2LoD), approval, and audit are separated by workflow design. All approvals require explicit human sign-off with named accountability.

Controlled publication and lifecycle monitoring
Only approved documents are published and continuously monitored for change with affiliated audit trails.

Regulator-ready at any point in time
The organisation can demonstrate why each governing document exists and who approved it.

Result: Compliance can be demonstrated continuously, not reconstructed retrospectively.
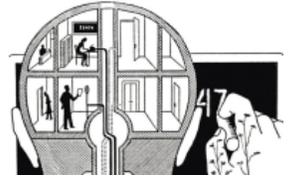
THE ASK?

We are seeking investors and strategic partners to commercialise the application and jointly establish market entry points.

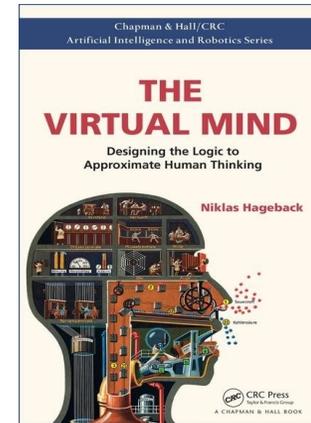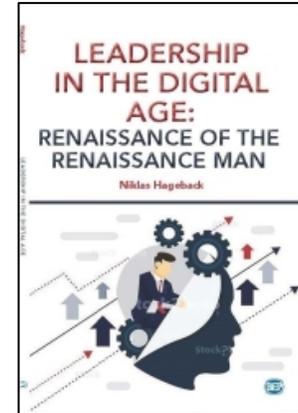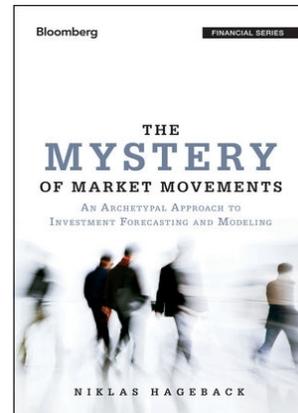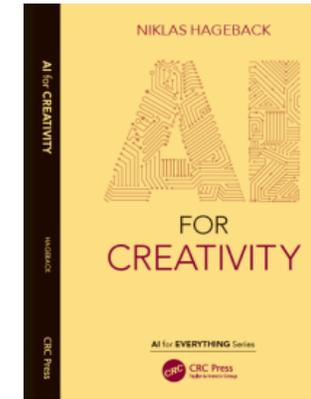# FOUNDERS: PURSUING THE CUTTING EDGE OF AI

NIKLAS HAGEBACK

DANIEL HEDBLOM

info@the-virtual-mind.com
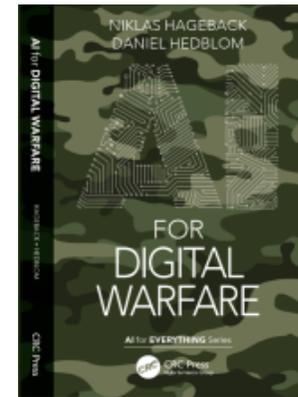
Let's meet up!

Come, have a look at our application.