Agent Governance Checklist

Bounding Agency: Identity, Authority, and Trust in the Age of AI Agents

The AI-IAM Practitioner Series · Book 1 · Rahul Bhardwaj · Arvik Press

Tool, version and date	Agent Governance Checklist v1.0, September 2026
Purpose	Records the governance state of a use case: sponsor, purpose, authority approval, change triggers, oversight, delegation rules, evidence, escalation, regulatory mapping, exceptions, metrics and review cadence.
Source in the book	Chapter 11, Table 11.7; summarized in Chapter 17.
When to use it	For questions of ownership and decision rights (Chapter 17).
What it produces	A list of decisions and evidence gaps, not a compliance verdict.
Scope	Fill in: which agents, use cases, environments and business units this record covers.
Completed by / reviewed by	Fill in: who completed it, who reviewed it, and when.
How to use this workbook	Cells shaded pale yellow are for you to fill in; drop-down lists appear where the book defines the options. Example rows are shaded blue-grey and written in italics: replace or delete them. Reference sheets reproduce the book's tables.
Evidence conventions	For every evaluative entry record the evidence source and date. Evidence strength, strongest first: tested control or log; configuration; documented policy; interview. Use N/A only with a reason. Record Unknown as a finding, never as zero.
Status	**A working diagnostic. Not a certification, audit opinion or compliance attestation.**
Licence	© 2026 Rahul Bhardwaj. Published by Arvik Press. You may copy and adapt the tools for use within your own organization. They may not be resold or republished.
Updates	Check arvikpress.com/bounding-agency for newer versions and corrections.

Agent Governance Checklist v1.0

Agent or use case	
Completed by / date	

Domain	Question (from the book)	Response	Evidence source	Evidence date	Evidence strength	Reason (required for N/A) and notes	Owner of the gap	Action or decision needed
Owner / sponsor	Is there a current, named sponsor accountable for purpose and authority, distinct from the technical owner?							
Purpose / use case	Is the approved purpose recorded, and does current use still match it?							
Authority approval	Is the authority source, scope, subjects and thresholds approved and on record?							
Material-change triggers	Do version, tool, authority, sponsor and purpose changes return to a governance decision?							
High-impact oversight	Are high-consequence or irreversible actions matched to an oversight pattern that works?							
Delegation rules	Are the agents and tools this agent may invoke defined, and is redelegation governed?							
Evidence / retention	Can actor, subject, authority, decision, action and outcome be reconstructed, and is retention set by applicable obligations?							
Incident escalation	Is it clear who is called, who can suspend the agent, and who decides to resume it?							
Regulatory mapping	Have applicable obligations been identified for this use case and jurisdiction, with the legal department's decision where needed?							
Exceptions	Does every exception have an owner, a reason, a scope and an expiry?							
Metrics / reporting	Does this agent appear correctly in the book metrics and in executive reporting?							
Review cadence	Is periodic review supplemented by event-driven review?							

Summary (counts only; no score)

Yes	**0**
Partly	**0**
No	**0**
Unknown	**0**
N/A	**0**
Not yet answered	**12**
N/A without a reason	**0**

CrystalSoft example (from the book)

Domain	Response	What the book records
Owner / sponsor	*No**	*When the auditor sampled the credit three weeks later, the sponsor seat had been vacant when the credit was posted (Chapter 11).*
Evidence / retention	*Partly**	*The evidence reconstructs every internal hop and, through the billing platform's audit export, the final posting, but it is split across a trust boundary and assembling it takes work; retention follows obligations that are not yet mapped (Chapter 11).*
Regulatory mapping	*Unknown**	*Jurisdiction and applicability not established: a question for the legal department (Chapters 11 and 14).*

*Only rows the book discusses are shown. Responses marked * are inferred from the book's account; the book does not state them as checklist answers. CrystalSoft Energy and its people, agents and systems are fictional, created to illustrate the book. Values marked with an asterisk (*) are illustrative.*