

## Corentis Shield

AI checkpoint for regulated workflows

Assurance and operations  
reviewers

# Corentis Control Matrix Example

A practical map from policy intent to runtime checkpoint evidence.

**AI needs a checkpoint before it acts. Corentis provides it.**

An operational example of how sensitive workflow risks can map to runtime checks, human review triggers and evidence outputs.

Generated April 2026

For discussion and pilot exploration only

## Overview

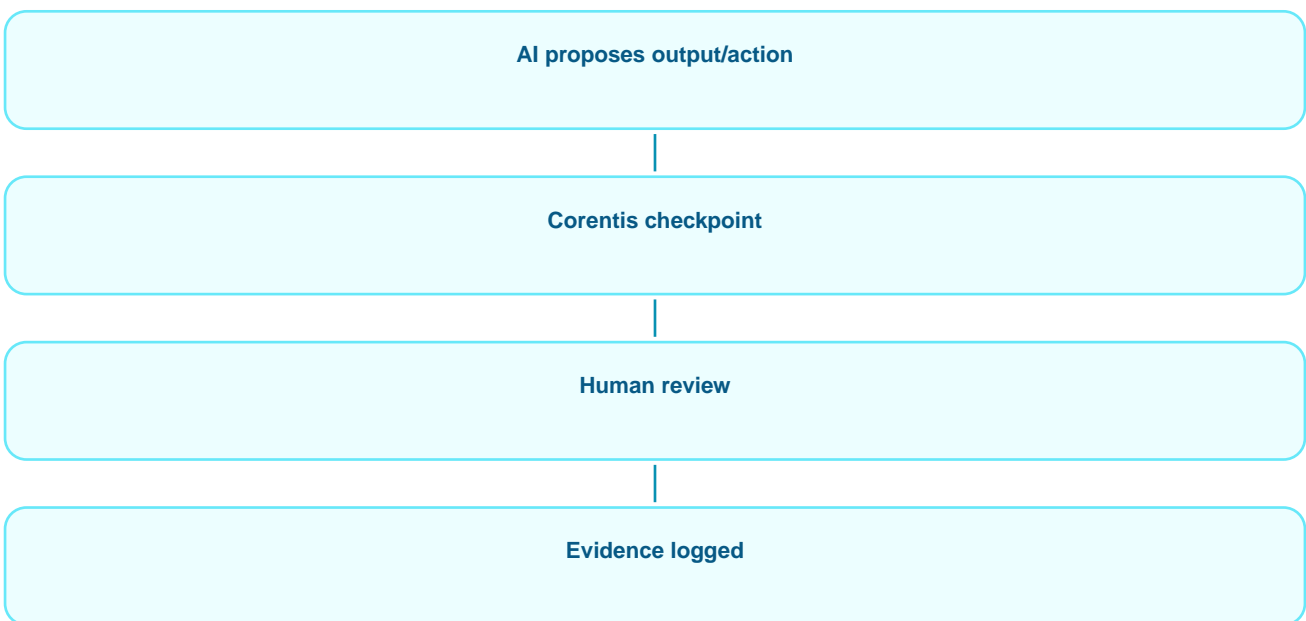
### Core position

Corentis Shield is an AI checkpoint for regulated workflows.

AI needs a checkpoint before it acts. Corentis provides it. Corentis Shield is designed to help teams check AI outputs before they reach customers, teams or live systems.

### VISUAL SUMMARY

## Checkpoint flow



## How to read the matrix

The matrix shows how a policy intention can become an operational checkpoint. Each row links a risk area to a runtime check, human review trigger, evidence output and success signal.

## Why policy needs operational controls

Policy alone does not stop an AI output from moving forward. Corentis is designed to place a control point at the moment the output is about to matter.

## A human moment

Example context: a customer discloses job loss, missed payments and distress after repeated contact. An AI assistant drafts a standard response. Corentis Shield checks whether that output should pause, route to human review and record evidence before any customer communication proceeds.

# What this unlocks

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A good control matrix helps product, operations, assurance and leadership teams discuss the same workflow in the same language. It turns abstract AI governance into visible decisions and review evidence.

## Next conversation

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If your organisation is exploring AI agents in regulated workflows, Corentis is ready for a focused conversation about validation, pilot design and strategic support.

### ILLUSTRATIVE OPERATIONAL MAPPING

## Control matrix

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### Vulnerable customer disclosure

**Policy intent**

Sensitive disclosure should be recognised before a standard response is sent.

**Runtime checkpoint**

Detect vulnerability, distress or hardship signals in the proposed interaction.

**Human review trigger**

Any vulnerable-customer signal paired with a standard or automated response.

**Evidence captured**

Signal detected, policy rule triggered, proposed output, review decision and final action.

**Owner / reviewer**

Customer-care or complaints reviewer.

**Success measure**

Sensitive disclosures are routed with clear evidence before communication proceeds.

### Financial difficulty signal

**Policy intent**

Customers in financial difficulty should receive appropriate handling and escalation.

**Runtime checkpoint**

Check for missed payments, job loss, hardship or affordability signals.

**Human review trigger**

Financial difficulty signal appears without appropriate support wording or review route.

**Evidence captured**

Signal, checkpoint decision, reviewer note and response version.

**Owner / reviewer**

Complaints or vulnerability lead.

**Success measure**

Financial difficulty signals produce visible review decisions.

## Unsupported complaint closure

### Policy intent

A complaint should not close without required investigation evidence.

### Runtime checkpoint

Check whether required evidence exists before closure wording moves forward.

### Human review trigger

Closure proposed with missing investigation steps or weak evidence trail.

### Evidence captured

Missing evidence items, blocked-action reason and reviewer decision.

### Owner / reviewer

Complaints handler.

### Success measure

Closure decisions are supported by inspectable evidence.

## Sensitive compensation wording

### Policy intent

Compensation language should be accurate, supported and reviewed when sensitive.

### Runtime checkpoint

Identify compensation, liability or redress wording before customer communication.

### Human review trigger

High-confidence compensation wording appears without support or review.

### Evidence captured

Original wording, triggered control, review route and approved wording.

### Owner / reviewer

Complaints reviewer.

### Success measure

Sensitive wording is reviewed before it reaches the customer.

## Missing investigation evidence

### Policy intent

Case decisions should be backed by enough evidence for review.

### Runtime checkpoint

Score evidence completeness before a proposed action proceeds.

### Human review trigger

Evidence completeness score falls below agreed threshold.

### Evidence captured

Completeness score, missing fields and reviewer resolution.

### Owner / reviewer

Operational reviewer.

### Success measure

Evidence gaps are visible before action.

## Unclear customer communication

### Policy intent

Customer communication should be clear, appropriate and aligned with policy.

### Runtime checkpoint

Check tone, clarity and policy fit before response is sent.

### Human review trigger

Ambiguous, overly firm or poorly evidenced wording appears in a sensitive workflow.

### Evidence captured

Draft response, triggered language control and final reviewer-approved version.

### Owner / reviewer

Customer operations reviewer.

### Success measure

Sensitive messages are clearer and easier to evidence.

## SELECTED SIGNALS

# Evidence context

### FCA FINANCIAL LIVES

#### **26.4m UK adults had characteristics of vulnerability in May 2024.**

Financial Conduct Authority, 16 May 2025

### FCA FINANCIAL LIVES

#### **7.3m UK adults were heavily burdened by domestic bills and/or credit commitments in May 2024.**

Financial Conduct Authority, 16 May 2025

### FCA COMMUNICATIONS EXPECTATION

#### **Firms must give consumers information they need, at the right time, presented in a way they can understand.**

Financial Conduct Authority, 7 March 2025

### FCA ENFORCEMENT EXAMPLE

#### **FCA fined TSB £10.9m for failing to ensure customers in arrears were treated fairly.**

Financial Conduct Authority, 10 October 2024

## FCA ENFORCEMENT EXAMPLE

### FCA fined Volkswagen Finance £5.4m for failing to treat customers in financial difficulty fairly.

Financial Conduct Authority, 21 October 2024

## Selected sources

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#### **Financial Conduct Authority: Financial Lives 2024: Key findings from the FCA's Financial Lives May 2024 survey**

Date/status: 16 May 2025. Source domain: fca.org.uk.

UK vulnerability characteristics context.

#### **Financial Conduct Authority: Financial Lives 2024: Key findings from the FCA's Financial Lives May 2024 survey**

Date/status: 16 May 2025. Source domain: fca.org.uk.

UK financial difficulty and hardship context.

#### **Financial Conduct Authority: Delivering good outcomes for customers in vulnerable circumstances**

Date/status: 7 March 2025. Source domain: fca.org.uk.

FCA vulnerable-customer and communications good-practice context.

#### **Financial Conduct Authority: FCA fines TSB £10.9m over treatment of customers in financial difficulty**

Date/status: 10 October 2024. Source domain: fca.org.uk.

Financial difficulty treatment and control-failure example.

#### **Financial Conduct Authority: FCA fines Volkswagen Finance £5.4m over treatment of customers in financial difficulty**

Date/status: 21 October 2024. Source domain: fca.org.uk.

Financial difficulty treatment and control-failure example.

## Company details and next step

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