Compliance-Aware Automation Design Guide

AU patterns for human-in-the-loop workflow automation

Direct answer: how do you automate without increasing compliance risk?

Design automation so AI prepares, classifies, and routes work while humans approve high-risk actions. Keep audit logs, exception handling, and rollback steps from day one. Compliance-safe automation is a process design problem, not just a tooling choice.

Core design rules (use on every workflow)

1. Define what the automation may do without approval.
2. Define explicit review triggers and escalation paths.
3. Store timestamps, inputs, outputs, and approver identity.
4. Keep a manual fallback path for failures and exceptions.
5. Limit data access to the minimum required for the workflow.

> **Sensitive data reminder**
>
> Typical categories to flag early: Health information, Personal information (APPs), Financial account data.

Control matrix for common automation steps

Step	Automation role	Human control
Document intake	Capture + classify	Spot-check confidence and exceptions
Data extraction	Draft structured fields	Approve low-confidence fields
Routing	Assign owner/queue by rules	Override routing when flagged
Notifications	Send reminders/status updates	Approve external messages if sensitive
Final action	Prepare transaction or record update	Required approval before commit

Region-specific compliance starting points

- Privacy Act 1988
- APPs
- Industry obligations (health/legal/finance)
- Retention/audit requirements

> **Important**
>
> This guide is an operational design framework, not legal advice. Validate controls with your compliance, legal, or security stakeholders.

What to document before go-live

Document	Why it matters
Workflow map + exceptions	Prevents hidden manual work from being skipped
Approval matrix	Clarifies who signs off on what
Data handling notes	Supports privacy/security review
Monitoring metrics	Shows if the automation drifts or fails
Rollback/runbook	Reduces outage and incident response time

Common design mistakes

- Automating approvals instead of preparing decisions for reviewers
- No exception queue or owner
- No audit trail for edits, approvals, and outputs
- Mixing production and test data in pilot workflows
- Optimizing for speed before accuracy and control

Where this fits in the rollout sequence

Use this guide after selecting a workflow with the What to Automate First scorecard and before finalizing pilot scope. It also pairs well with our pilot-first vs full transformation comparison. AU teams should also confirm who owns privacy review before pilot launch.