

The AI Assurance Readiness Checklist

A free instrument from AI GOVERNANCE CHAIN™

Abbreviations and Acronyms

No prior knowledge is assumed. Every acronym used in this document is defined below.

AI: Artificial Intelligence

ISO/IEC 42001: the international standard for Artificial Intelligence Management Systems, published in December 2023 by the International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC)

NIST AI RMF: the Artificial Intelligence Risk Management Framework of the National Institute of Standards and Technology (United States)

What this is, and why it matters

Assurance is the discipline of proving, to someone other than yourself, that your AI governance actually works. A board does not want to be told the controls exist. A regulator does not accept a policy as evidence it was followed. A customer does not trust a claim without proof. Assurance is the bridge between what you say you do and what an independent party can confirm you do.

This checklist tells you, in fifteen minutes, whether your AI governance could survive an independent audit today. It is the WHAT and the WHY. The HOW, the templates, and the done-with-you audit are the paid layer.

How to use it

Score each item: 2 (fully in place, evidenced), 1 (partial), 0 (absent). Total out of 40.

Section A: Evidence exists (is it written down?)

1. Every AI system has a documented owner and purpose.
2. Risk assessments are recorded, not just discussed.
3. Decisions to deploy, restrict, or stop are logged with a date and a name.
4. Model and data sources are documented (provenance).
5. Incidents and near-misses are recorded in a register.

Section B: Evidence is independent (could someone else verify it?)

6. Logs are tamper-evident or held outside the team that created them.

2. 7. A person independent of the build team reviews high-risk systems.
3. 8. Test results are retained, not overwritten.
4. 9. Third-party and vendor AI claims are evidenced, not assumed.
5. 10. Controls are mapped to a recognized standard (ISO/IEC 42001, NIST AI RMF).

Section C: Evidence is current (is it alive?)

1. 11. Reviews happen on a fixed cadence, not only after a problem.
2. 12. The system inventory is updated when systems change.
3. 13. Monitoring produces dated records, not just live dashboards.
4. 14. The most recent review is less than one quarter old.
5. 15. Someone is accountable for keeping the evidence current.

Section D: Evidence is usable (could you hand it over tomorrow?)

1. 16. You could produce an audit trail for any AI decision on request.
2. 17. You have a single place an auditor or regulator would start.
3. 18. Your evidence is organized by system, not scattered by person.
4. 19. You know which regulations apply and where the proof for each sits.
5. 20. A board member could read your governance summary and understand it.

Reading your score

- - 34 to 40 Audit-ready. An independent reviewer would find a clear, current, verifiable trail.
- - 24 to 33 Partially ready. The substance exists but the evidence is incomplete or scattered.
- - 14 to 23 Exposed. You are governing in practice but cannot yet prove it.
- - 0 to 13 Unproven. A regulator or board would find no defensible evidence today.

An anonymized case

A mid-size insurer (T3, private) believed its AI governance was strong. The teams were careful, the people were capable, and nothing had gone wrong. Then a regulator asked for the evidence behind a single automated decision. The organization had the decision, but not the trail: no dated log, no record of who approved the model, no retained test results. The governance was real, but unprovable. They scored 18 on this checklist. The gap was not competence. It was assurance.

Where the free version stops, and the paid version begins

This checklist tells you whether you could pass an audit. It does not build the evidence system, conduct the independent review, or produce the audit report. That is the AI Assurance and Audit Kit (paid), and for organizations that want it done with them, the Pre-Scale Governance Audit.

Your next step: Get the [AI Assurance and Audit Kit, Full Edition](https://www.aigovernancechain.com/storefront.html) in the Execution Library (www.aigovernancechain.com/storefront.html, section: The Core Governance Kits). Every instrument in the Execution Library is also included in the [Governance Vault](#), the all-access annual licence.

AI GOVERNANCE CHAIN™

AI Governance Framework

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Document standard: human-first AI governance.