

EXECUTABLE GRC

AI Governance Self-Assessment Checklist.



Assess your organisation's AI governance against the five-level maturity model. Complete it honestly – the value of the exercise depends on accurate self-assessment, not aspirational scoring.

• 7 governance areas

• 27 control checks

• 5-level maturity model

Companion to the **AI Governance Maturity Model**. Maps to the **ISO/IEC 42001:2022** AI management system standard.

HOW TO USE THIS CHECKLIST

Mark each item honestly. The pattern is the answer.

For each item, mark **Yes**, **No**, **Partial**, or **N/A**. The pattern of responses indicates which maturity level most closely describes your organisation — and where the most significant gaps are.

WHO SHOULD COMPLETE IT

AI governance leads, compliance directors, CROs, or equivalent — **ideally with input from IT, legal, and the business unit leads closest to AI deployment decisions.**

HOW TO READ YOUR SCORE

Don't total a number. **Look for the section where your answers tip from Yes to No or Partial** — that boundary is your current maturity level and your priority for improvement.

Yes — in place and operating

Partial — exists but inconsistent

No — not in place

N/A — not applicable

| GOVERNANCE AREA / CHECKLIST ITEM | YES | NO | PARTIAL | N/A |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| 1 FOUNDATIONS: AI INVENTORY & OWNERSHIP | | | | |
| We maintain a complete inventory of all AI systems in use across the organisation. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Each AI system has a named owner accountable for its governance. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| AI systems are classified by risk level (e.g. customer-facing / high impact vs internal / low impact). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Our AI inventory is reviewed and updated at least annually. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 2 POLICY & STANDARDS | | | | |
| We have a documented AI governance policy that is approved at senior level. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| The policy covers acceptable use, prohibited use, and data handling for AI systems. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Staff who use or manage AI systems are aware of the policy and their responsibilities. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| AI governance policy is reviewed and updated when material AI regulatory changes occur. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

| GOVERNANCE AREA / CHECKLIST ITEM | YES | NO | PARTIAL | N/A |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| 3 RISK & IMPACT ASSESSMENT | | | | |
| We conduct AI risk assessments before deploying new AI systems. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We assess AI systems for potential discriminatory or biased outputs. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We assess AI impact on customers, employees, and third parties. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Risk assessments are documented and reviewed periodically. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 4 MODEL VALIDATION & EXPLAINABILITY | | | | |
| Material AI models are subject to independent validation. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We can explain AI-driven decisions to customers when asked. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Validation covers model behaviour under stressed or edge-case conditions. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Limitations of AI models are documented and communicated to decision-makers. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 5 ONGOING MONITORING | | | | |
| We monitor AI system performance against defined metrics on an ongoing basis. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We have defined thresholds for AI performance degradation that trigger review. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We monitor AI systems for data distribution drift. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| AI monitoring outputs are reviewed by accountable owners, not just IT teams. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

| GOVERNANCE AREA / CHECKLIST ITEM | YES | NO | PARTIAL | N/A |
|--|--------------------------|--------------------------|--------------------------|--------------------------|
| 6 THIRD-PARTY & SUPPLIER AI | | | | |
| We have a process for assessing AI governance practices of AI system suppliers. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| Supplier contracts address AI-specific obligations (data use, model changes, incident notification). | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We review third-party AI systems for alignment with our internal AI governance standards. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| 7 GOVERNANCE & ACCOUNTABILITY | | | | |
| Board-level oversight of AI governance is in place. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| AI governance responsibilities are formally allocated under SM&CR or an equivalent accountability framework. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| We have an escalation process for AI-related incidents or concerns. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| AI governance is included in internal audit scope. | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Tally your responses

| | | | | |
|--|----------------------|----------------------|----------------------|----------------------|
| <p>Count across all 27 items.</p> <p>Then turn the page – the balance of marks points to your maturity level.</p> | YES | PARTIAL | NO | N/A |
| | <input type="text"/> | <input type="text"/> | <input type="text"/> | <input type="text"/> |

INTERPRETING YOUR RESULTS

Find the level that matches your pattern.

Read down the ladder until the description matches where your answers tipped from **Yes** to **No** or **Partial**. That's your current level — and the priority that follows is your next move.

| | | |
|--|--|--|
| <p>LEVEL 1 / EARLY 2</p> <p>Initial</p> | <p>WHAT IT LOOKS LIKE</p> <p>Most items in Foundations and Policy & Standards marked No or Partial.</p> | <p>PRIORITY</p> <p>Basic infrastructure — inventory, ownership, and policy.</p> |
| <p>LEVEL 2</p> <p>Developing</p> | <p>WHAT IT LOOKS LIKE</p> <p>Foundations and Policy largely in place, but Risk Assessment, Model Validation, and Ongoing Monitoring have significant gaps.</p> | <p>PRIORITY</p> <p>Close the policy–practice gap and systematise the assessment processes that currently happen inconsistently.</p> |
| <p>LEVEL 2 → 3</p> <p>Establishing</p> | <p>WHAT IT LOOKS LIKE</p> <p>The first five sections are largely complete, but Governance and Accountability has gaps.</p> | <p>PRIORITY</p> <p>Formalise board oversight and accountability allocation.</p> |
| <p>LEVEL 3</p> <p>Managed</p> | <p>WHAT IT LOOKS LIKE</p> <p>All sections largely complete, but monitoring is manual and AI governance is not integrated with your broader GRC programme.</p> | <p>PRIORITY</p> <p>Automation, integration, and measurement.</p> |
| <p>LEVEL 4 / 5</p> <p>Optimised</p> | <p>WHAT IT LOOKS LIKE</p> <p>A predominantly Yes checklist.</p> | <p>PRIORITY</p> <p>Continuous improvement, predictive capability, and external validation through ISO 42001:2022 certification.</p> |

● POWERED BY GRACIE

SEE HOW SURECLOUD OPERATIONALISES YOUR NEXT MATURITY LEVEL

Don't just document the gaps. Operationalise the next level.

SureCloud's governance, risk and compliance platform helps organisations move up the AI governance maturity curve — from building a complete AI inventory and automating impact assessments through to continuous monitoring, GRC integration, and ISO 42001 certification readiness.

7

Governance areas, from inventory to internal audit

5

Maturity levels operationalised, not just documented

42001

ISO/IEC certification readiness, end to end

COMPANION

AI Governance Maturity Modelsurecloud.com/blog-hub

TEMPLATE

AI Governance Policy Templatesurecloud.com/resource-hub

DEEP DIVE

EU AI Act vs ISO 42001surecloud.com/resource-hub

See the platform operationalise each stage.

Gracie AI Agents and Skills automate the inventory, impact assessments, monitoring, and audit-trail work your maturity level demands — at scale.

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