AI Governance Desk

AI Compliance Readiness Scorecard

A Practical Self-Assessment for AI Engineering and Compliance Teams

How to Use This Scorecard

This scorecard is designed to help organizations assess their current level of AI compliance readiness across key governance, risk, and operational areas.

For each section, review the questions carefully and select the response that best reflects your current practices:

- Yes – Fully implemented and documented
- Partial – Partially implemented or inconsistently applied
- No – Not implemented or undocumented

Use the Notes / Evidence section to record supporting documentation, explanations, or action items.

Once all sections are completed, review your responses to identify gaps, prioritize remediation efforts, and track progress over time.

This scorecard is intended as a practical self-assessment tool, not legal advice.

System & Risk Classification

Has the AI system's intended purpose been clearly defined and documented?

☐ Yes   ☐ Partial   ☐ No

Has the system been assessed against high-risk use cases?

☐ Yes   ☐ Partial   ☐ No

Is there a written record explaining the risk classification decision?

☐ Yes   ☐ Partial   ☐ No

Is risk classification reviewed when system usage or scope changes?

☐ Yes   ☐ Partial   ☐ No

Are assumptions about system impact documented?

☐ Yes   ☐ Partial   ☐ No

Notes / Evidence (optional):

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Data Lineage & Data Governance

Answer the following questions based on your data sources, pipelines, and governance practices.

Are all training, validation, and test data sources clearly identified and documented?

□ Yes   □ Partial   □ No

Is data lineage traceable from original source through preprocessing, feature engineering, and model input?

□ Yes   □ Partial   □ No

Are data collection methods, permissions, and usage rights documented and compliant with applicable policies?

□ Yes   □ Partial   □ No

Are data transformations reproducible and version-controlled?

□ Yes   □ Partial   □ No

Are bias, representativeness, and data quality risks assessed and documented?

□ Yes   □ Partial   □ No

Notes / Evidence (optional):

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Transparency, Explainability & Human Oversight

Answer the following questions based on how your AI system enables transparency, explanation, and human oversight.

Are users or operators informed that they are interacting with an AI system where applicable?
□ Yes   □ Partial   □ No

Are model outputs explainable to appropriate stakeholders based on their role and context?
□ Yes   □ Partial   □ No

Are explanations documented and understandable to non-technical reviewers when required?
□ Yes   □ Partial   □ No

Is there a defined process for human review, override, or intervention in system decisions?
□ Yes   □ Partial   □ No

Are limitations, known risks, and appropriate use constraints communicated and documented?
□ Yes   □ Partial   □ No

Notes / Evidence (optional):

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Monitoring, Logging & Incident Management

Are model performance and behavior monitored regularly after deployment?

□ Yes   □ Partial   □ No

Are logs maintained for system inputs, outputs, and key decisions where appropriate?

□ Yes   □ Partial   □ No

Is there a process to detect data drift, model drift, or performance degradation?

□ Yes   □ Partial   □ No

Are incidents, errors, or unexpected behaviors documented and reviewed?

□ Yes   □ Partial   □ No

Is there a defined escalation and response process for significant issues or failures?

□ Yes   □ Partial   □ No

Notes / Evidence (optional):

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Security, Robustness & Resilience

Are appropriate security controls in place to protect the AI system and its data?
□ Yes   □ Partial   □ No

Has the system been tested for robustness against errors, edge cases, or unexpected inputs?
□ Yes   □ Partial   □ No

Are safeguards implemented to prevent unauthorized access, misuse, or manipulation of the system?
□ Yes   □ Partial   □ No

Are fallback mechanisms or safe shutdown procedures defined for system failures?
□ Yes   □ Partial   □ No

Are security incidents or vulnerabilities tracked, assessed, and remediated?
□ Yes   □ Partial   □ No

Notes / Evidence (optional):

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Compliance, Documentation & Accountability

Are applicable AI laws, regulations, and industry standards identifi
and mapped to the system?
□ Yes   □ Partial   □ No

Is there clear ownership and accountability for AI governance and
compliance decisions?
□ Yes   □ Partial   □ No

Are policies, procedures, and governance documents maintained
and kept up to date?
□ Yes   □ Partial   □ No

Is documentation sufficient to support audits, internal reviews, or
regulatory inquiries?
□ Yes   □ Partial   □ No

Are compliance reviews conducted periodically or when significan
changes occur?
□ Yes   □ Partial   □ No

Notes / Evidence (optional):

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Overall Score & Interpretation

This section helps you interpret your responses across all sections of the AI Compliance Readiness Scorecard and understand your organization's overall AI governance maturity.

For each question:
- **Yes = 2 points**
- **Partial = 1 point**
- **No = 0 points**

Add up your total score across all sections to assess your overall
AI compliance readiness.

Readiness Levels

🟢 **High Readiness**

Your AI system demonstrates strong governance, documentation, and operational controls.
Focus on continuous monitoring, improvement, and regulatory alignment as requirements evolve.

🟡 **Moderate Readiness**

Your AI system has foundational governance practices in place but shows gaps or i nconsistencies.
Prioritize areas marked "Partial" or "No" for remediation.

🔴 **Low Readiness**

Your AI system lacks key governance,
risk management,
or compliance controls.
Immediate action is recommended
to reduce legal,
ethical, and operational risks.

Recommended Next Actions

> **Based on your results, create an action plan to:**
>
> • Address identified gaps
>
> • Assign ownership and accountability
>
> • Update documentation and controls
>
> • Reassess periodically or after system changes

Disclaimer:
This scorecard is a practical self-assessment tool and does not constitute legal advice.

AI GOVERNANCE DESK

AI Governance Desk is a governance-focused initiative dedicated to helping organizations design, deploy, and manage artificial intelligence systems responsibly.

We provide practical tools, frameworks, and guidance to support transparency, accountability, risk management, and regulatory alignment across the AI lifecycle.

This scorecard is designed to support organizations in assessing their AI governance maturity, identifying gaps, and prioritizing actions that reduce legal, ethical, and operational risks while promoting responsible AI adoption.