



AI RISK & COMPLIANCE HEALTH CHECK



A PRACTICAL CHECKLIST FOR EVERYDAY AI USE

A practical checklist designed for businesses navigating the casual, everyday use of AI. Work through each section to identify governance gaps, security exposure, and areas where stronger oversight would protect your business.

HOW TO USE THIS TOOL

This health check is designed to be completed by a business owner, operations manager, or compliance lead. It is not an audit, it is a structured prompt to surface gaps before they become problems. For each item, mark your current position:

- ✓ In place and current
- ~ In place but needs review
- ✗ Not in place
- N/A Not applicable to our operations

Note any actions arising from this review in the space provided or in your corrective action register.

APAC



1300 706 491



info.aus@auditco.com



auditco.com

EMEA



+44 0 1727 309 770



info.uk@auditco.com



auditco.com

AMERICAS



+1 844 328 3482



info.usa@auditco.com



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SECTION 1: LEGAL & REGULATORY COMPLIANCE

- We are aware of our obligations under applicable data protection and privacy laws in relation to data shared with AI tools.
- We have considered recognised AI ethics principles, such as the OECD AI Principles, in how AI is used across the business.
- Client contracts have been reviewed for any obligations relating to AI use or disclosure.
- We understand what additional AI governance requirements larger or government clients may expect.
- We hold, or are actively working toward, ISO 42001 certification.

✓	~	✗	N/A
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐

SECTION 2: DATA GOVERNANCE & SECURITY

- We know what data is shared with each AI tool used across the business.
- Staff have clear guidance on what information must not be shared with external AI tools.
- AI generated code or scripts undergo the same security review as other business software.
- AI features embedded in existing platforms have been identified and assessed.
- Vulnerabilities introduced through AI assisted tools are actively monitored for.

✓	~	✗	N/A
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐

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SECTION 3: HUMAN OVERSIGHT & ACCOUNTABILITY

- AI generated outputs are reviewed by a person before being relied upon.
- Accountability for AI assisted decisions sits clearly with a named person or role.
- Staff are trained on appropriate and inappropriate uses of AI in their role.
- We can explain how an AI assisted decision or output was reached if asked.

✓	~	✗	N/A
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐

SECTION 4: THIRD PARTY & VENDOR AI TOOLS

- New AI tools go through an approval process before staff begin using them.
- We maintain a current inventory of AI tools in use across the business.
- Vendor and software updates that introduce new AI features are reviewed before roll-out.
- Contracts with AI vendors have been reviewed for data handling and liability terms.

✓	~	✗	N/A
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐

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SECTION 5: DOCUMENTATION & EVIDENCE READINESS

- Our AI governance documentation is understood and followed, not accidental.
- We could provide a client or auditor with evidence of our AI governance within 24 hours.
- AI related incidents or near misses are logged and reviewed.
- Our approach to AI governance is reviewed on a planned, regular basis.

✓ ~ ✗ N/A

☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐
☐	☐	☐	☐

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HEALTH CHECK SUMMARY & ACTIONS

Review your flags (indicated by **X** or ~ marks). Use the text block below to map out immediate remedial targets to bridge these critical operational gaps.

THE NEXT STEPS

Need support closing out your AI governance gaps?

AuditCo delivers realistic, ISO 42001 aligned governance frameworks for businesses using AI casually or at scale.

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