



# AI READINESS FOR BUSINESSES SELF ASSESSMENT



## BUILDING TRUSTWORTHY AI GOVERNANCE

Thinking about ISO 42001 certification but not sure where you stand? This self-assessment tool is designed to help businesses honestly evaluate their current position against the requirements of an AI Management System, before committing to a formal certification pathway.

## HOW TO USE THIS TOOL

This is not an audit. It is a structured self-assessment to help you understand where your current practices sit relative to the ISO 42001 framework. For each item, indicate your current position using the scale below, then review your responses at the end of each section.

- A** Already in place, documented and followed
- B** In place but not consistently documented
- C** Informal or partially in place
- D** Not currently in place

Review your responses at the end of each standard section and use the guidance notes to prioritise your next steps.

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## PART 1: AI GOVERNANCE & LEADERSHIP

ISO 42001 begins with clear ownership of AI at a leadership level, not just operational awareness of the tools in use.

- Senior leadership is visibly committed to responsible AI use, not just aware that it is happening.
- We have a documented AI policy that is communicated to relevant staff.
- Roles and accountability for AI oversight are clearly assigned to a person or team.
- AI related risks and opportunities are considered as part of regular business planning.

| A                        | B                        | C                        | D                        |
|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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## PART 2: DATA GOVERNANCE & PRIVACY

Much of the risk in everyday AI use comes down to what data is shared with these tools and whether that sharing is understood and controlled.

- We know what data is shared with each AI tool used across the business.
- Data shared with AI systems is assessed against privacy and confidentiality obligations.
- We have clear controls over what information staff can input into external AI tools.
- Data quality and provenance are considered before AI outputs are relied upon.

| A                        | B                        | C                        | D                        |
|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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## PART 3: RISK MANAGEMENT & HUMAN OVERSIGHT

A defensible AI Management System depends on a person remaining accountable for AI assisted outputs, rather than the tool being trusted by default.

- AI generated outputs, including code, content, and decisions, are reviewed by a person before being relied upon.
- We have a structured process for assessing risk before adopting a new AI tool.
- Bias, error, and unintended outcomes from AI use are actively monitored.
- Security implications of AI generated code or tools are assessed before deployment.

| A                        | B                        | C                        | D                        |
|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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## PART 4: MONITORING & CONTINUAL IMPROVEMENT

AI governance is not a one off exercise. ISO 42001 expects ongoing visibility and review as tools, use cases, and regulation continue to change.

- We maintain a current inventory of AI tools in use across the business.
- AI related incidents or near misses are logged and reviewed.
- Our approach to AI governance is reviewed and updated as tools and regulations change.
- We have considered how AI governance aligns with existing certifications such as ISO 27001.

| A                        | B                        | C                        | D                        |
|--------------------------|--------------------------|--------------------------|--------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
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## READING YOUR RESULTS

|                             |                                                                                                          |
|-----------------------------|----------------------------------------------------------------------------------------------------------|
| <b>MOSTLY A'S</b>           | You are likely in a strong position for a gap assessment. Certification may be closer than you think.    |
| <b>MIX OF A'S &amp; B'S</b> | Good foundations exist. The focus is on documentation and consistency.                                   |
| <b>MOSTLY C'S</b>           | Significant work required but a clear pathway exists. Start with a gap assessment.                       |
| <b>MOSTLY D'S</b>           | Systems development needed before pursuing certification. AuditCo can help you build from the ground up. |

## THE NEXT STEPS

**The next step for most businesses is a formal gap assessment, a structured review of your current position against ISO 42001, conducted by an experienced auditor.**

**AuditCo provides gap assessments and AI Management System implementation support for businesses at every stage of their AI governance journey.**

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