Preparation checklist

AI Audit Snapshot · for a Director · 47 questions, about 39 minutes with the answers at hand

How to use this. These are the questions you will be asked, in the order you will see them. Tick each one you can answer today; for the rest, note who in the company has the answer. You do not need to finish in one sitting: leave the questionnaire at any point and the resume link in your email brings you back with everything saved. "Don't know" is always an allowed answer and is treated as a finding about visibility, not as a mark against you.

Context and identity

Have at hand: Your industry code, headcount, revenue band, where you operate, which laws and standards you work under, and who owns AI decisions today.

- ☐ How long have you been in this role?
- ☐ Which AI-relevant laws, regulations, or frameworks does your company operate under? Check every one that applies (or would apply if a regulator asked).
- ☐ How long has your company been using any AI tools?
- ☐ Was your AI adoption strategy formally approved by leadership before tools were deployed?
- ☐ Why are you completing this assessment? (select all that apply)
- ☐ Voluntary AI, data, and security standards your company aligns with or claims compliance to. Includes standards required by customer contracts or insurance policies.
- ☐ Contractual and supply chain expectations that require AI-related evidence from your company.

AI tool inventory and discovery

Have at hand: A list of every AI tool in use, sanctioned or not: name, who uses it, what data it touches, who pays for it. Ask around; the unsanctioned ones matter most.

- ☐ Which AI tools does your company currently use? Check every tool anyone at the company uses.
- ☐ Does a single document exist that lists every AI tool currently in active use across the company?
- ☐ What does that inventory include? (select all that apply)
- ☐ When was the inventory last updated?
- ☐ Who maintains the inventory?
- ☐ Has anyone attempted to create an AI tool inventory?
- ☐ Why hasn't an inventory been built? (select all that apply)
- ☐ If a regulator or acquirer asked for a complete AI tool inventory today, how long would it take to produce?

- [ ] Have you been asked for an AI tool inventory in the past 3 months by anyone external (auditor, insurer, customer, board)?
- [ ] How many AI tools does leadership believe are in use across the company?
- [ ] How confident is that number?
- [ ] Have any AI tools been adopted at the team or department level without central IT or leadership approval?
- [ ] How many AI tools have been added in the past 3 months?
- [ ] How many AI tools have been retired in the past 3 months?
- [ ] Were any tools retired because they failed to deliver value, or because of risk/compliance concerns?
- [ ] Is there a defined approval process required before a new AI tool is adopted?

Cost mapping

Have at hand: Last 12 months of AI spend: subscriptions, API bills, vendor contracts, staff time. Your finance system or card statements are the source.

- [ ] Which of the following hidden AI costs has the company quantified or documented (in the past 3 months)? (select all that apply)

Performance measurement

Have at hand: Any targets set for AI tools, any measurement of results, any tool retired for missing its target.

- [ ] For the company's top 3 AI use cases by spend or strategic importance, indicate which apply (past 3 months):
  - [ ] Use case 1
  - [ ] Use case 2
  - [ ] Use case 3
- [ ] Has any AI tool been continued despite consistently missing its target metric?
- [ ] Has any AI tool been killed because it missed its target metric?
- [ ] How often do you encounter AI outputs that are confidently wrong?
- [ ] How often are AI errors caught before reaching customers or final decisions?
- [ ] Is there a defined review process for high-stakes AI outputs (customer communications, financial decisions, hiring)?
- [ ] Has any AI error reached a customer or external party in the past 3 months?
- [ ] Have you measured customer or employee satisfaction with AI-touched processes?

Risk exposure

Have at hand: Vendor contracts and data-handling terms, where customer or regulated data goes, any incident or near miss, cyber insurance terms, counsel's involvement.

- [ ] Is any AI tool generating customer-facing communications without human review?
- [ ] Are AI tools generating content that could be misattributed to a human?
- [ ] Are any AI tools embedded in customer-facing communications?

Governance gaps

Have at hand: Board or executive minutes mentioning AI, any AI policy, the committee or person accountable, training records, how exceptions are handled.

- [ ] Is there a published AI usage policy?
- [ ] Is there a training program for employees on appropriate AI use?
- [ ] What are the top three barriers to better AI outcomes in the company? (rank top 3)

Outcomes, workflow and confidence

Have at hand: Which business outcomes AI was meant to move, where it changed a workflow, and how confident you are in each answer.

- [ ] Which processes have been redesigned around AI in the past 3 months? (select all that apply)
- [ ] Have any processes been worsened by AI introduction that you're aware of?
- [ ] Confidence that the company is getting value from its AI spend
- [ ] Confidence that the company would survive regulatory scrutiny of its AI use today
- [ ] Confidence that AI risks are understood at the leadership level
- [ ] Confidence that the company's AI program is aligned with stated business outcomes

Follow-up

Have at hand: Anything the questionnaire did not ask that you think the auditor should know. Write it down; it is read.

- [ ] Which of the following would you like to receive based on these findings? (select all that apply)
- [ ] What's your preferred follow-up method?
- [ ] Anything we should know that the questionnaire didn't ask? (optional, max 1000 characters)

Questions about this checklist or the audit: srj@srjconsultingservices.com, 415-413-7772. A person answers.