

ILLUSTRATIVE CLIENT DELIVERABLE

AI Governance Readiness Report

Northstar Workflow Systems / Sample organization

OVERALL READINESS

62

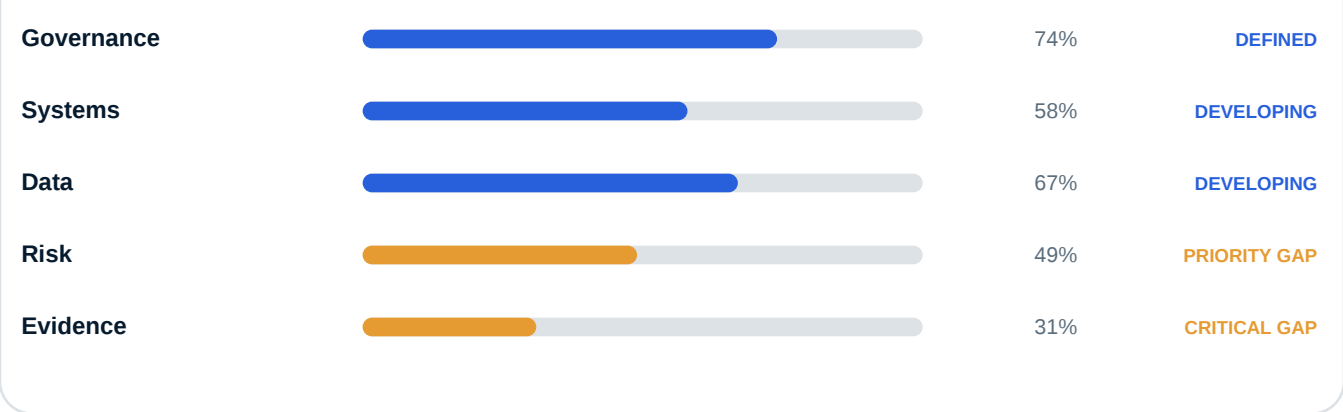
Developing foundations

3 critical gaps / 8 priority actions / 90-day roadmap

The organization has useful foundations, but its evidence trail has not kept pace with AI adoption.

Northstar uses AI across employee productivity, customer support, software development, and a customer-facing recommendation feature. Leadership awareness is strong. The principal readiness gap is operational: inventories, approvals, vendor reviews, and ongoing monitoring are not yet managed as one consistent program.

READINESS BY DOMAIN



THREE FINDINGS THAT MATTER

01

Incomplete inventory

AI tools and embedded vendor capabilities are not tracked through one authoritative register.

02

Inconsistent risk review

Material use cases do not follow one repeatable classification, approval, and oversight process.

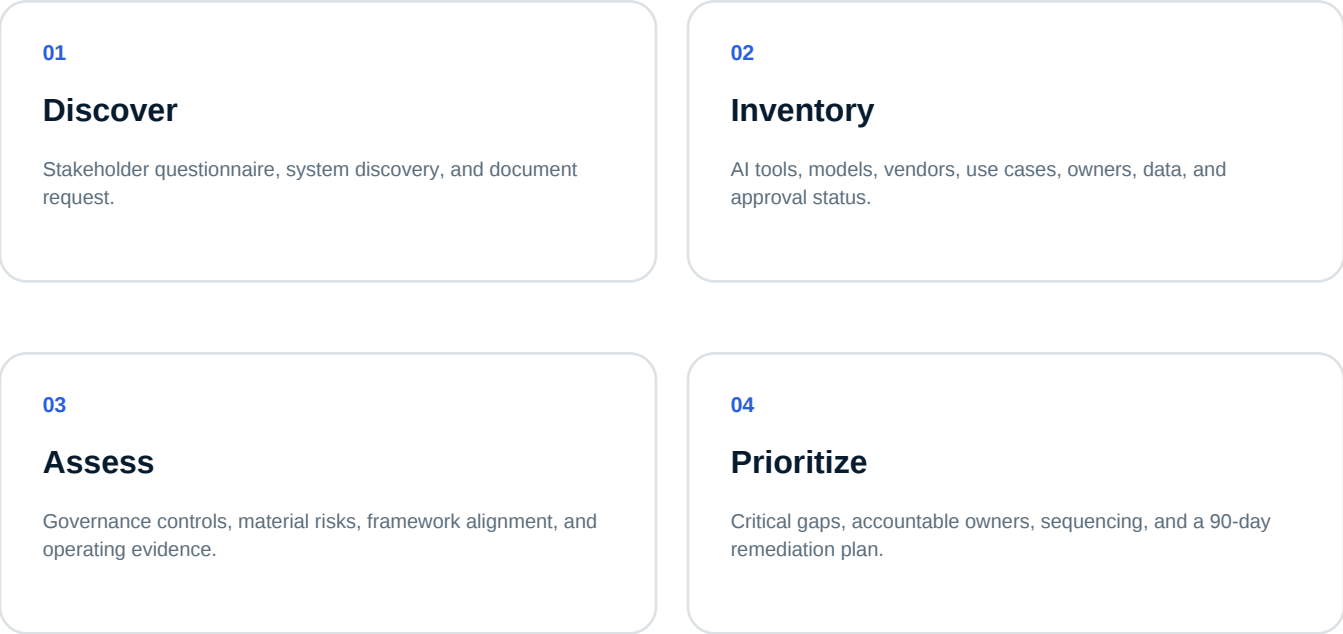
03

Weak operating evidence

Controls may exist in practice, but the organization cannot consistently demonstrate that they operated.

A readiness review connects systems, governance, risk, and evidence.

This sample illustrates the structure and level of detail of a SmartBuzz AI Governance Readiness Assessment. It is not based on a real client and does not provide a legal opinion or certification decision.



ASSESSMENT BOUNDARIES

Organizational AI governance, inventory, use-case classification, vendor process, policy coverage, human oversight, monitoring, and evidence readiness.	Legal advice, regulatory opinions, security penetration testing, model certification, ISO certification, financial audit, or assurance over control effectiveness.

A usable inventory shows what exists, who owns it, and why it matters.

The initial inventory identified seven material AI systems or use cases. The excerpt below demonstrates the fields used to establish ownership, risk tier, data exposure, and review status.

Customer support assistant	VP Support	Customer	High	Review
Product recommendation model	VP Product	Behavioral	High	Approved
Enterprise Copilot	IT	Internal	Medium	Approved
AI coding assistant	Engineering	Source code	Medium	Conditional
Sales call summarization	Revenue Ops	Prospect	Medium	Review
Recruiting note assistant	People Ops	Candidate	High	Pause
Marketing copy tools	Marketing	Public	Low	Approved

CONTROL GAP

The inventory is a one-time spreadsheet, not an operating register.

There is no standard intake process, review cadence, retirement status, or trigger for reassessment when vendors, models, data, or intended uses change.

Prioritize the risks that require decisions, owners, and evidence.

R-01	Customer data may enter AI tools without consistent vendor and retention review.	Critical	Security	Vendor review, data-use rule, approval record
R-02	Recommendations may affect customers without documented validation or oversight thresholds.	High	Product	Impact assessment, testing, review criteria
R-03	Employee AI use is not consistently inventoried or tied to policy acknowledgment.	High	IT	Inventory, access controls, training evidence
R-04	Model or vendor changes can occur without a defined reassessment trigger.	Medium	Engineering	Change log, release gate, monitoring record
R-05	Incident escalation does not specifically address AI failures or harmful outputs.	Medium	Risk	AI incident playbook and exercise

RISK DECISION

Pause recruiting use

Suspend the recruiting note assistant until candidate-data rules, human review, and vendor controls are documented.

QUICK WIN

Centralize vendor review

Use one AI-specific vendor checklist and retain security, privacy, contractual, and model documentation in the evidence repository.

Five control gaps explain most of the readiness risk.

G-01 **Central accountability**

No chartered owner or governance forum has authority to approve material AI uses.

FIRST ACTION

Assign an executive sponsor and operating owner.

G-02 **Use-case intake**

Teams adopt tools and launch AI features without one consistent review path.

FIRST ACTION

Introduce tiered intake and approval.

G-03 **Impact assessment**

Higher-impact uses do not receive a documented, proportionate assessment.

FIRST ACTION

Adopt an impact-assessment template.

G-04 **Monitoring**

Technical metrics exist, but governance thresholds, review frequency, and escalation are unclear.

FIRST ACTION

Define system-specific monitoring plans.

G-05 **Evidence retention**

Approvals, tests, vendor records, and changes are distributed across teams.

FIRST ACTION

Create an evidence index and retention rules.

One control library can support multiple frameworks.

The crosswalk is a readiness aid. It identifies where internal controls and evidence contribute to recognized framework areas; it does not claim certification or legal compliance.

AI system and use-case inventory	GOVERN 1; MAP 1	A.4.2; A.4.3	System register, ownership, status
AI risk and impact assessment	MAP 3; MAP 5	8.2; 8.4	Assessment, decision, approvals
Roles and accountability	GOVERN 2	5.3; A.3	Charter, RACI, committee record
Third-party AI review	MAP 4; MANAGE 3	A.10	Due diligence, contract, approval
Human oversight	GOVERN 1; MANAGE 2	A.9	Procedure, thresholds, review log
Monitoring and change control	MEASURE 2; MANAGE 4	9.1; 10.1	Metrics, changes, incidents

INTERPRETATION

Northstar should build the operating control once, assign an owner, and maintain the evidence once. Framework references are then mapped to the same control rather than creating separate programs for every standard or law.

Sequence foundational decisions before adding more documentation.

Days 0-30

- 1 Name the executive sponsor and operating owner
- 2 Approve interim AI acceptable-use rules
- 3 Complete the material AI inventory
- 4 Pause or condition the recruiting use
- 5 Launch a single AI vendor checklist

Days 31-60

- 1 Adopt use-case classification and intake
- 2 Complete priority impact assessments
- 3 Define human-oversight requirements
- 4 Create AI incident escalation steps
- 5 Organize the evidence repository

Days 61-90

- 1 Establish monitoring plans for high-risk uses
- 2 Deliver role-based AI literacy training
- 3 Run the first governance review
- 4 Test one incident scenario
- 5 Approve the annual review cadence

DAY-90 OUTCOME

Leadership can identify material AI uses, explain who approved them, show the controls that apply, and produce the evidence supporting those decisions.

Governance becomes credible when each decision leaves evidence.

Executive sponsor	Set risk posture; approve policy and material exceptions.	Policy approvals, exceptions, board updates
Governance owner	Run intake, inventory, assessments, reporting, and review cadence.	Register, assessments, decisions, metrics
System owner	Maintain intended use, controls, monitoring, and change records.	System file, tests, logs, change record
Risk / legal partners	Interpret obligations and advise on privacy, security, and contractual risk.	Reviews, opinions, accepted actions
Employees	Use approved systems within policy and report issues.	Training and policy acknowledgment

MINIMUM EVIDENCE FILE FOR A MATERIAL AI USE

- Owner and intended use
- Risk classification
- Vendor review
- Impact assessment
- Approval decision
- Test results
- Oversight procedure
- Monitoring plan
- Change history
- Incident record

Know what you use. Know your risk. Know what to fix.

This illustrative report shows how SmartBuzz turns a broad governance concern into a practical inventory, prioritized risk register, control crosswalk, and sequenced remediation plan.

WHAT A CLIENT RECEIVES

- AI system and use-case inventory
- Prioritized AI risk register
- Policy and evidence review
- Executive readout
- Governance gap assessment
- Framework readiness crosswalk
- 90-day remediation roadmap

IMPORTANT LIMITATION

This document is a fictional, illustrative sample. SmartBuzz AI provides governance readiness and operational advisory services. It does not provide legal advice, determine legal compliance, conduct accredited certification, or issue assurance opinions. Applicable legal conclusions should be made with qualified counsel; certification decisions are made by independent accredited bodies.

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AI governance readiness and advisory