

# AI Controls Readiness Checklist

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Six starting questions to identify owners, unanswered questions and next actions before a professional AI review.

Choose one system or agent. Record its purpose and owner.

Answer Yes, No or Unknown. Note who will follow up and when; Unknown is an open question.

Use the notes to prepare a conversation with your risk team or an assessor. This starter does not include audit tests or a compliance score.

| Starting question                                                             | Yes / No / Unknown | Owner / next action |
|-------------------------------------------------------------------------------|--------------------|---------------------|
| Is the system's purpose clear, with a named owner?                            |                    |                     |
| Is it clear which actions and connected tools are allowed?                    |                    |                     |
| Does the owner know what information it uses and where that information goes? |                    |                     |
| Is someone responsible for checking important decisions or changes?           |                    |                     |
| Does the team know who to contact to stop a problem and recover?              |                    |                     |
| Are known problems and unanswered questions recorded for follow-up?           |                    |                     |

## One system at a time

System or agent: \_\_\_\_\_ Owner: \_\_\_\_\_

Most important unanswered question: \_\_\_\_\_

Next action: \_\_\_\_\_ Follow-up date: \_\_\_\_\_

## Example

### **Fictional example: a customer-service agent**

The system owner cannot confirm where customer messages are stored. Mark Data as Unknown, assign the question to the IT lead and set a follow-up date. Do not mark the system compliant.

## Further reading

[NIST AI Risk Management Framework \(AI RMF 1.0\), NIST AI 100-1](#)

[ISO/IEC 42001:2023 - Artificial intelligence management system](#)

Preparation aid, not an audit result or proof of compliance. Use your own requirements and have a qualified professional review the work. Keep client records in your approved storage; enter references only. Examples are fictional.

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