
AI Governance Assessment Report

Sample Report - Acme Corporation

Organization:	Acme Corporation
Industry:	Financial Services
Assessment Date:	January 11, 2026
Assessment Type:	Management Self-Assessment
Completed By:	Jane Smith, Chief Risk Officer

Executive Summary

This assessment evaluates Acme Corporation's AI governance maturity across 12 key dimensions. The overall score reflects current capabilities in managing AI risks, ensuring ethical deployment, and maintaining regulatory compliance.

Overall Maturity Score



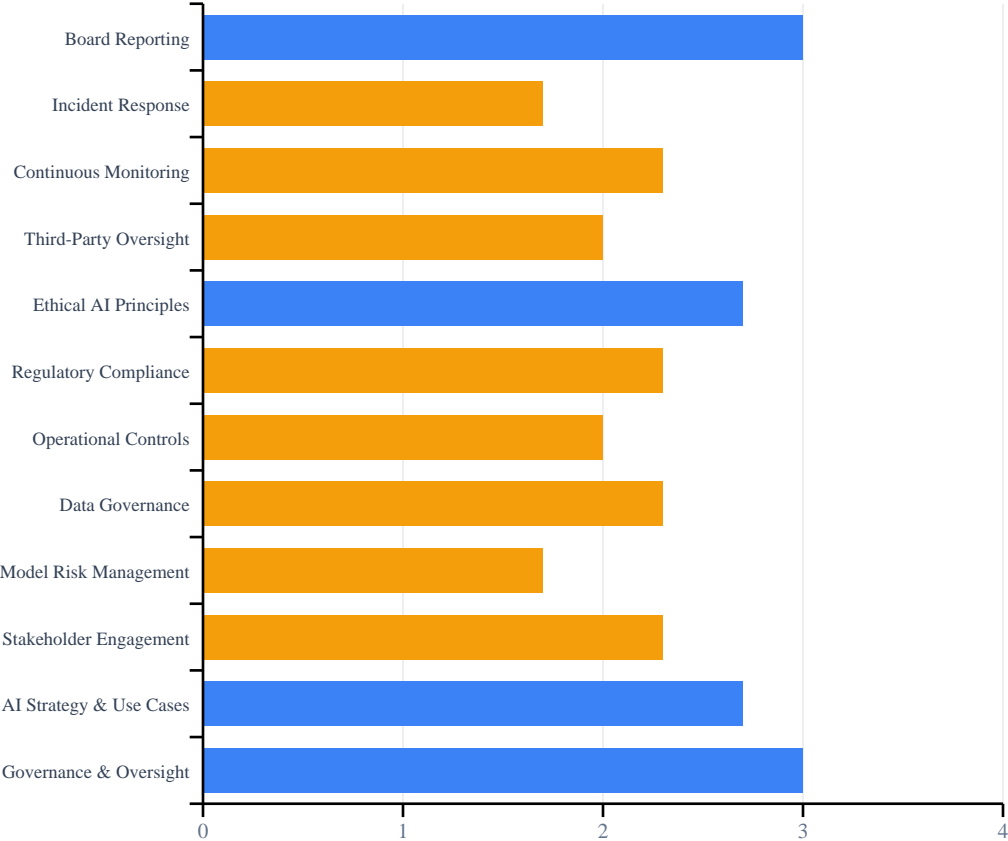
Metric	Value
Overall Maturity Score	2.4 / 4.0
Maturity Level	Developing
Percentile Rank	62nd percentile (Financial Services)
Assessment Completion	100% (52 of 52 questions)

Key Findings

- Strong governance oversight with established board-level AI committee
- Model risk management requires immediate attention and formalization
- Solid foundation in data governance, but operational controls need enhancement
- Incident response capabilities are underdeveloped for AI-specific scenarios

Dimensional Maturity Scores

The assessment evaluates 12 dimensions across four key areas: Strategy & Oversight, Risk Management, Operations & Ethics, and Monitoring & Response. Each dimension is scored on a 0-4 scale representing maturity levels from Initial to Optimized.



Maturity Scale

Score	Level	Description
3.5 - 4.0	Optimized	Proactive, continuously improving, industry-leading
2.5 - 3.4	Managed	Documented, monitored, consistently applied
1.5 - 2.4	Developing	Inconsistent, reactive, partially documented
0.0 - 1.4	Initial	Ad hoc, undocumented, minimal controls

Section Performance Analysis

The 12 dimensions are organized into four strategic sections. This analysis provides an overview of performance and key gaps in each area.

Section Performance Overview



Strategy: Governance & Direction - Score: 2.7/4.0

How AI strategy and oversight are established

Strong board-level oversight and clear AI strategy provide a solid foundation. Stakeholder engagement processes need formalization to ensure comprehensive input and transparency across all AI initiatives.

Risk: Model & Data Management - Score: 2.0/4.0

How AI risks are identified and managed

This is the highest priority improvement area. Model risk management lacks formal validation procedures and independent review. Data governance foundations exist but operational controls for AI-specific data quality and bias monitoring require enhancement.

Operations: Ethics & Compliance - Score: 2.3/4.0

How AI systems are deployed and governed

Ethical principles are documented but not consistently operationalized. Compliance frameworks address general requirements but need AI-specific considerations. Third-party AI oversight processes are informal.

Monitoring: Response & Reporting - Score: 2.3/4.0

How AI performance is tracked and reported

Board reporting mechanisms are well-established. However, continuous monitoring capabilities need enhancement with automated alerting. Incident response plans lack AI-specific procedures and testing.

Priority Recommendations

Based on the assessment results, we recommend focusing on these five priority areas. Recommendations are sequenced by urgency and potential impact on overall AI governance maturity.

1. Establish Model Risk Management Framework

Priority: High
Timeline: 0-3 months

Implement comprehensive model validation procedures, independent review processes, and documentation requirements. Establish clear ownership and accountability for model development, validation, and ongoing performance monitoring.

2. Enhance AI-Specific Incident Response

Priority: High
Timeline: 0-3 months

Develop AI-specific incident response playbooks addressing bias, fairness issues, model drift, and data quality problems. Conduct tabletop exercises and establish clear escalation procedures to the board.

3. Operationalize Ethical AI Principles

Priority: Medium
Timeline: 3-6 months

Transform documented ethical principles into practical controls embedded in the AI development lifecycle. Implement ethics checklists, impact assessments, and automated fairness monitoring for all AI systems.

4. Formalize Third-Party AI Vendor Management

Priority: Medium
Timeline: 3-6 months

Establish due diligence procedures for AI vendors, including model transparency requirements, performance guarantees, and ongoing monitoring obligations. Create vendor risk classification framework specific to AI capabilities.

5. Implement Continuous Monitoring Dashboard

Priority: Medium

Timeline: 6-12 months

Deploy automated monitoring tools to track model performance, data quality, bias metrics, and compliance indicators in real-time. Integrate with board reporting to provide executives with actionable AI risk intelligence.

Sample Dimension: Model Risk Management

This section provides an example of the detailed question-level analysis available for each dimension. The full report includes this level of detail for all 12 dimensions.

Overall Score: 1.7 / 4.0 (Initial)

Model risk management processes are underdeveloped, with limited formal validation procedures and documentation. This represents the highest priority improvement area.

Question 1: Does your organization have a formal model risk management framework?

Score: 2/4

Response: Partially - We have model governance policies but they are not comprehensive

Evidence/Notes: Model Governance Policy v1.2 (dated March 2025) covers basic requirements but lacks AI-specific validation procedures

Question 2: Are AI/ML models validated by an independent team before deployment?

Score: 1/4

Response: No - Validation is performed by the development team

Evidence/Notes: Current process has model developers conducting their own validation checks

Question 3: Is there ongoing performance monitoring for deployed models?

Score: 2/4

Response: Partially - Some models are monitored but not systematically

Evidence/Notes: Monthly performance reports for credit risk models; ad hoc monitoring for others

Appendix: Assessment Methodology

This assessment evaluates AI governance maturity across 12 dimensions using a structured questionnaire and scoring framework. The methodology is designed to provide actionable insights for boards and executive teams.

- 52 questions across 12 dimensions organized into 4 strategic sections
- 4-point maturity scale: Initial (0-1.4), Developing (1.5-2.4), Managed (2.5-3.4), Optimized (3.5-4.0)
- Evidence-based assessment requiring documentation and specific examples
- Benchmarking against industry peers (Financial Services sector)
- Board-ready recommendations prioritized by impact and urgency

The assessment is designed to be completed by senior executives with visibility into AI governance, risk management, and operational practices. We recommend involving stakeholders from IT, Risk, Compliance, Legal, and Business functions to ensure comprehensive responses.

About the Assessment

This AI Governance Assessment is provided by Ian Tyndall (iantyndall.com) as a practical tool for boards and executives to evaluate their organization's AI governance maturity. The assessment framework is based on regulatory guidance, industry best practices, and board-level AI governance research.

For questions about the assessment or to discuss your organization's AI governance needs, visit iantyndall.com or contact through the website.