



AI Governance Assessment

and Diagnostic

A structured self-assessment to help your organisation understand its current AI governance posture, identify gaps, and build a clear path to responsible AI adoption.

www.hyperionanalytics.co.uk

Return to: enquiries@hyperionanalytics.co.uk

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Before You Begin

This is a self-assessment, not an audit. There are no wrong answers.

The most useful thing you can do is answer honestly, even where the honest answer is "we haven't thought about this." That is the starting point, not a failing grade. Many organisations that are actively using AI have never formally addressed the questions in this assessment. That gap between usage and governance is common, normal, and fixable.

This assessment covers five areas: your current AI usage, data governance, policies and accountability, vendor relationships, and regulatory awareness. It should take approximately 15 to 20 minutes to complete. Some questions may require input from colleagues in IT, operations, or legal roles.

Once completed, return this document to Hyperion Analytics for a confidential review. We will use your answers to prepare a tailored summary of your governance posture, identifying your highest-priority gaps and recommending practical next steps. This review forms part of our free 30-minute AI Governance Diagnostic.

Your responses will be treated as strictly confidential and will not be shared with any third party.

ABOUT YOUR ORGANISATION

Your Organisation

This section helps us understand your context so we can tailor our review and recommendations to your specific situation.

0.1 Organisation name

0.2 Your name and role

0.3 Approximately how many people work in your organisation?

1-10	11-50	51-150	150+
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

0.4 Which best describes your sector?

- Financial services (banking, fintech, insurance)
- Legal
- Healthcare or medical
- Defence and security
- Accountancy
- Public sector or govtech
- Education
- Technology
- Creative and marketing
- Retail and e-commerce
- Professional services (other)
- Other (please specify below)

0.5 In one or two sentences, what does your organisation do?

0.6 Which best describes your current use of AI in the organisation?

We don't really use AI yet	A few individuals are experimenting informally	We have some agreed AI use in certain teams	AI is embedded in multiple core processes
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

0.7 Is AI currently used in, or being considered for, any of the following? (Select all that apply)

- Automated decisions affecting your employment, recruitment, or HR outcomes
- Credit, lending, insurance, or financial eligibility decisions
- Educational assessment, grading, or student evaluation
- Healthcare diagnosis, triage, treatment recommendations, or patient-facing interactions
- Safety-critical operations (vehicles, infrastructure, medical devices, physical security)
- Biometric identification or categorisation (e.g. voice/sentiment recognition, face recognition)
- Content moderation or behavioural profiling at scale (e.g. auto-screening user content, segmenting customers based on behaviour for targeted actions)
- None of the above

0.8 What is your primary goal for using AI in the next 12 to 18 months (select all that apply)?

- Efficiency and productivity
- New products or services
- Risk and compliance
- Competitive advantage
- Not sure yet

SECTION 1

AI Usage and Shadow AI Exposure

This section establishes what is actually happening in your organisation right now. The gap between what leadership believes is happening with AI and what staff are actually doing is where the biggest risks tend to hide.

1.1 Do you maintain any kind of list or inventory of the AI tools and AI features in use across your organisation (including tools with AI features – i.e. Copilot)?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.2 Are any staff using free or personal-tier AI tools (e.g. non-corporate accounts on personal laptops or phones) for work-related tasks?

Yes	No	Unsure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.3 Realistically, which of the following types of data have staff entered, or might staff be entering, into AI tools? (Select all that apply)

- Client or customer names and contact details
- Financial data (invoices, accounts, transactions)
- Internal business strategy, pricing, or commercial terms
- Employee personal data (HR records, performance data)
- Legal documents, contracts, or privileged communications
- Health or other special-category personal data (e.g. diversity monitoring data, DBS check, religious dietary requirements)
- Publicly available information only
- Unsure

1.4 Has anyone in your organisation mapped which AI tools are connected to which internal systems (e.g. CRM, email, file storage, accounting software)?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.5 Have staff received any formal guidance on what information is and is not appropriate to enter into AI tools?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.6 Would staff know what to do, and who to tell, if they suspected an AI tool had produced an inaccurate, biased, or harmful output, or if they had inadvertently shared sensitive data with one?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

1.7 Do any of your AI tools take actions on behalf of staff, such as sending emails, scheduling meetings, updating records, or executing transactions? If so, has the scope of what these tools are authorised to do been defined and agreed?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 2

Data Governance and Privacy

This section covers how personal data and confidential information interact with your AI use. If your organisation processes any personal data through AI tools, existing data protection obligations apply regardless of whether you have an AI-specific policy.

- 2.1** Have you identified a lawful basis under GDPR (or UK Data Protection Act 2018) specifically for any personal data you process through AI tools (not just in general) and for each one could you name it?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2.2** Have you assessed whether a Data Protection Impact Assessment (DPIA) is needed for any of your AI use cases, and carried one out where appropriate?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2.3** Do your staff understand which categories of data are too sensitive to enter into AI tools without specific authorisation (e.g. health data, private health insurance enrolment details, diversity data, detailed HR files)?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2.4** Do you know where your AI vendors store and process the data you provide to them, including whether data leaves the UK or EU (is it in a physical location or in the cloud)?

Yes	No	Unsure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 2.5** Have you considered how data subject rights (access, deletion, rectification, objection) apply to data that has been processed through or generated by your AI systems, including any explanations you may need to provide about automated decisions?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

2.6 Do you apply data minimisation principles when using AI tools, for example by removing identifying details before inputting data?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 3

Policies, Accountability, and Oversight

This section covers the governance structures and processes you have in place. Having a written policy is a starting point. Having a policy that staff know about, understand, and follow is governance.

3.1 Does your organisation have a written AI acceptable use policy that has been communicated to staff?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.2 Is there a named individual responsible for AI governance in your organisation (even if it sits alongside other responsibilities)?

No	Under discussion	Yes, with a named individual
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.3 Is there a defined process for reviewing and approving AI tools before they are adopted for business use?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.4 Are all AI-generated outputs reviewed by a person before they are shared with clients, published externally, or used to inform significant decisions (e.g. HR, financial, legal, policy)?

Always	Usually	Sometimes	Rarely or never
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.5 Do you maintain a register or inventory of all AI systems currently in use across your organisation, including who owns each one and what data it processes?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.6 If something went wrong with an AI system tomorrow (inaccurate output sent to a client, data breach via an AI tool, vendor changing terms without notice), do you have a defined process or playbook for responding?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.7 Are your key business processes (e.g. sales, customer support, onboarding) documented well enough that AI-related risks within them could be identified and governed?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

3.8 Have roles and responsibilities for AI oversight been clearly communicated to the people who need to act on them (i.e. who to escalate incidents to and who is responsible for certain tools)?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 4

Vendor and Supply Chain Risk

This section covers your relationship with the companies that provide your AI tools. Most organisations have never examined these relationships through a governance lens. That is not a criticism. It is where most of the unseen risk sits.

- 4.1** Do you know whether your AI vendors use your inputs (including prompts, uploaded data & interactions) to train or improve their models?

Yes, for all AI tools we use	Yes, for some but not others	No, we haven't checked	Unsure
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.2** Do you have a Data Processing Agreement (DPA) in place with each AI vendor that processes personal data on your behalf?

Yes, for all	Yes, for some	No	Unsure what a DPA is
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.3** Do you know the security posture of your AI vendors (for example, whether they hold certifications like ISO 27001, SOC 2, Cyber Essentials, or equivalent)?

Yes, we've verified	Checked some but not all	No	Unsure what to look for
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.4** If you needed to stop using an AI vendor tomorrow, could you extract your data and are you clear on what happens to data already held by the vendor?

Yes	Partially	No	Haven't considered this
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.5** Have you confirmed whether your AI vendors notify you when they make material changes to their models, terms of service, or data handling practices?

Yes	No	Unsure	Haven't checked
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

- 4.6** Do your contracts with AI vendors include clear terms on data location, data retention, sub-processor use, and liability for AI-related failures?

Yes, for all AI vendors	Yes, for some AI vendors	No, our contracts don't clearly cover these points	We don't have formal contracts with our AI vendors
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

4.7 Have you checked whether any software your organisation already uses has recently introduced AI features (e.g. AI-powered suggestions, auto-categorisation, predictive features) that staff may be using without a formal review (e.g. Microsoft 365 Copilot features, Salesforce Einstein, HubSpot AI, automated suggestions in accounting software)?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 5

Regulatory Awareness and Compliance Posture

This section tests whether you could demonstrate compliance if asked. The question is not whether you intend to comply, but whether you could show an auditor or regulator evidence that you are doing so.

5.1 Do you have a clear understanding of which laws and regulations currently apply to your organisation's use of AI?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.2 Are you aware of the EU AI Act and what it requires of organisations that deploy AI systems (as distinct from those that develop them)?

Yes, and we've assessed our obligations	Aware of it but haven't assessed our position	Heard of it but unsure how it applies	Not aware of it
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.3 Could you demonstrate compliance with GDPR in respect of your AI use if the ICO asked you to?

Confident we could	Probably, but with gaps	Unlikely	Don't know
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.4 Do you have a timeline or plan for achieving AI governance compliance (including data protection and AI-specific obligations), with key regulatory deadlines identified?

Not considered	Aware but not addressed	Partially in place	Fully in place
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.5 The EU AI Act is being enforced in phases: prohibited practices are already banned, general-purpose AI obligations applied from August 2025, and full requirements for high-risk AI systems take effect from August 2026. How aware are you of this timeline and how it applies to your organisation?

Fully aware and planning around it	Broadly aware but haven't assessed our position	Aware of the Act but not the phased timeline	Not aware of this
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

5.6 If your sector has a specific regulatory body (e.g. FCA, SRA, GMC, ICO), do you know whether that body has issued guidance on AI use, and have you reviewed or acted on it?

Yes, reviewed and acting on it	Aware guidance exists but haven't reviewed it	Not aware of sector-specific guidance	Not applicable to our sector
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FINAL QUESTIONS

Your Priorities

These two questions are optional, but your answers will significantly improve the quality of your diagnostic review.

6.1 What is the single biggest concern you have about using AI in your business?

6.2 What would make you feel confident moving forward with AI governance?

What Happens Next

Return this completed assessment to enquiries@hyperionanalytics.co.uk. We will review your responses confidentially and prepare a tailored summary of your governance posture, identifying your highest-priority gaps and recommending practical next steps.

Your summary will form the basis of a free 30-minute AI Governance Diagnostic with Hyperion Analytics. The diagnostic is a conversation, not a sales pitch. The goal is to give you a clear picture of where you stand and what to prioritise first. There are no obligations and no tie-ins.

To book your diagnostic, email enquiries@hyperionanalytics.co.uk or visit www.hyperionanalytics.co.uk.



Responsible AI Adoption

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