



AI GOVERNANCE · RISK & COMPLIANCE DIAGNOSTIC

SAMPLE

AI Governance Audit Report

PREPARED FOR

[Company Name Redacted]

PREPARED BY

Sam Hawkins · Syntra Automate

ENGAGEMENT REFERENCE

[REDACTED]

INDUSTRY

Professional Services (Financial Advisory)

DATE

[Redacted] 2026

ASSESSMENT FRAMEWORKS

EU AI Act · UK GDPR · ISO/IEC 42001

01 EXECUTIVE SUMMARY

We reviewed [Company]'s AI usage, data flows, and governance posture against the EU AI Act (Regulation (EU) 2024/1689), UK GDPR, and ISO/IEC 42001. This assessment identified **three priority findings** requiring attention before the EU AI Act high-risk compliance deadline of **August 2, 2026**.

The organisation is using AI tools across multiple business functions without a formal governance framework. While no prohibited AI practices were identified, several high-risk and limited-risk AI systems are operating without appropriate documentation, oversight, or policy controls.

OVERALL RISK RATING

Composite verdict across all assessed AI systems, data flows, and governance controls.

MODERATE**7**AI TOOLS
IDENTIFIED**5**UNAPPROVED
SHADOW TOOLS**0**WRITTEN
AI POLICIES**1**HIGH-RISK
SYSTEM FOUND

02 ASSESSMENT SCOPE

This diagnostic reviewed the organisation's AI tooling inventory across all departments, interviewed key stakeholders, sampled live data flows into approved and unapproved tools, and benchmarked existing documentation against the EU AI Act, UK GDPR, and ISO/IEC 42001. Three priority findings follow on the next page.



03 KEY FINDINGS

FINDING 01 Unmanaged Shadow AI Exposure

RISK: HIGH

Our assessment identified **seven AI tools** in active use across the organisation. Only two were formally approved. The remaining five are being used without oversight, policy, or data classification controls.

AI TOOL	DEPARTMENT	APPROVED	DATA SENSITIVITY
Microsoft Copilot	All	✓ YES	MEDIUM
ChatGPT (Free)	Marketing, Legal	× NO	HIGH — CLIENT DATA
Claude	Operations	× NO	MEDIUM
AI CV Screener (3rd party)	HR	× NO	HIGH — PERSONAL DATA
AI Meeting Transcription	Leadership	× NO	HIGH — SENSITIVE
Internal Analytics Dashboard	Finance	✓ YES	LOW
AI Email Drafting Plugin	Sales	× NO	MEDIUM — CLIENT COMMS

KEY CONCERN The AI CV Screener falls under **EU AI Act Annex III, Category 4 (Employment)** and is classified as **high-risk**. It requires full compliance documentation, human oversight, and risk management by August 2, 2026. None of these are currently in place.

KEY CONCERN Staff are pasting client financial data into free-tier ChatGPT with no data processing agreement, no retention controls, and no awareness of where that data is processed or stored.

FINDING 02 No AI Usage Policy

RISK: HIGH

The organisation has no written AI usage policy. Employees have no documented guidance on:

- × Which AI tools are approved for business use
- × What data can and cannot be entered into AI tools
- × How AI-generated outputs should be verified before use
- × How to report AI-related incidents or near-misses
- × Consequences for non-compliance with AI usage rules

Without a policy, the organisation cannot demonstrate governance to regulators, auditors, clients, or insurers. This is a foundational gap affecting compliance with both the EU AI Act and UK GDPR.

FINDING 03 EU AI Act Exposure Not Assessed

RISK: MODERATE

The organisation serves clients across the UK and EU. Several AI systems produce outputs that reach EU-based clients, potentially placing the organisation in scope under **Article 2(1)(c)** of the EU AI Act. No assessment has been conducted to classify systems by risk tier, identify high-risk systems under Annex III, or prepare technical documentation.

HIGH-RISK COMPLIANCE DEADLINE**02 AUGUST 2026**



04 RECOMMENDED NEXT STEPS

- 1

IMMEDIATE

Conduct a shadow AI survey across all departments to identify every AI tool currently in use.
- 2

WITHIN 2 WEEKS

Draft and implement an AI usage policy with approved tool list and data classification rules.
- 3

WITHIN 4 WEEKS

Classify all AI systems by EU AI Act risk tier and identify those that qualify as high-risk under Annex III.
- 4

WITHIN 6 WEEKS

Begin technical documentation and compliance preparation for high-risk systems ahead of the August deadline.
- 5

ONGOING

Establish quarterly governance reviews, board reporting, and an ongoing regulatory horizon-scanning function.

05 HOW SYNTRA CAN HELP

This sample reflects three of the six findings produced by a full diagnostic. A complete engagement delivers all six findings with detailed remediation plans, peer benchmarking, and a 90-day implementation roadmap.

SERVICE	WHAT YOU GET	FROM
Full AI Governance Audit	All six findings, remediation plan, 90-day roadmap	£499
AI Governance Framework	Complete policy, risk framework, documentation, training	£3,500
EU AI Act Compliance	Full compliance programme before 2 August 2026	£2,500
Ongoing Assurance	Quarterly reviews, board reports, regulatory tracking	£1,500/mo

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15 years across intelligence, defence, and AI governance · PRINCE2 · Prosci · Anthropic Certified
· Google Certified · AWS Certified · ISO 42001 (in progress) · ISC2 (in progress)

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