

AI, Data, and Resilience Evidence Checklist

Pairs with: AI, data, and resilience are now buying conditions

Prepare assurance evidence for data-led, AI-enabled, or operationally important fintech products.

Founder / team	Account / market / topic	Date
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When to use it

Use before regulated-buyer conversations where AI, data, third-party dependencies, or operational resilience may create concern.

What this worksheet covers

Data permissions	Model behaviour
Human oversight	Testing
Monitoring	Resilience
Third-party dependencies	

Questions to answer before you start

<p>Where does data come from and what permissions apply?</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>How is model behaviour tested and monitored?</p> <p>_____</p> <p>_____</p> <p>_____</p>
<p>Where is human oversight required?</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>What happens when something fails?</p> <p>_____</p> <p>_____</p> <p>_____</p>

Assurance checklist

Area	Evidence needed	Status	Owner	Gap
Data source and permissions	_____ _____	_____ _____	_____ _____	_____ _____
Data retention and deletion	_____ _____	_____ _____	_____ _____	_____ _____
Model behaviour summary	_____ _____	_____ _____	_____ _____	_____ _____
Human oversight process	_____ _____	_____ _____	_____ _____	_____ _____
Exception handling	_____ _____	_____ _____	_____ _____	_____ _____
Testing approach	_____ _____	_____ _____	_____ _____	_____ _____
Monitoring approach	_____ _____	_____ _____	_____ _____	_____ _____
Incident process	_____ _____	_____ _____	_____ _____	_____ _____
Third-party dependencies	_____ _____	_____ _____	_____ _____	_____ _____
Resilience and continuity	_____ _____	_____ _____	_____ _____	_____ _____
Buyer-safe demo controls	_____ _____	_____ _____	_____ _____	_____ _____

Risk explanation

Buyer concern	Plain-English answer	Evidence link
How outputs are controlled	_____ _____	_____ _____
How mistakes are handled	_____ _____	_____ _____
How the service fails safely	_____ _____	_____ _____
Who is accountable	_____ _____	_____ _____

Risks, gaps, and evidence needed

Risk or gap	Why it matters	Evidence or action needed	Owner/date
_____ _____	_____ _____	_____ _____	_____ _____
_____ _____	_____ _____	_____ _____	_____ _____
_____ _____	_____ _____	_____ _____	_____ _____
_____ _____	_____ _____	_____ _____	_____ _____
_____ _____	_____ _____	_____ _____	_____ _____

Decision card

What this now tells me

Decision

Choose one.

- Continue
- Adapt
- Pause
- Exit

Next action

Owner

Date to review
