



HARPONIAN INTERNATIONAL

Audit & Regulatory Readiness for AI

What Auditors and Regulators Will Ask

Format	Duration	Audience	Deployment	LMS / SSO	PO
Live / Recorded	60 min	Audit / Legal / Compliance	Enterprise licensing	N/A	Supported

Executive Overview

Audit & Regulatory Readiness for AI is a live or recorded executive briefing that prepares leadership for AI-related audits, reviews, and regulatory inquiries. It explains how AI use may be evaluated through evidence, documentation, accountability, and consistency rather than technical implementation alone.

Briefing Outcome

Prepare executives, audit committees, legal, and compliance leaders to understand what can be demonstrated today, where evidence gaps exist, and which AI governance practices may be difficult to defend under scrutiny.

Why This Matters

Auditors and regulators typically look for evidence of control, accountability, documentation, and consistent execution. If AI use is expanding without reviewable records, leaders may face surprise findings, inconsistent answers, or difficulty proving that AI risk is being managed.

Enterprise Risk Exposure Addressed

- Insufficient evidence of AI governance, approval, or review activities
- Inconsistent answers to audit or regulatory inquiries about AI use
- Unclear accountability for controls, documentation, and monitoring
- Surprise findings caused by undocumented AI adoption or weak records

What the Organization Receives

- **Audit Readiness Briefing:** Executive-level explanation of the evidence auditors and regulators may expect around AI use.
- **AI Evidence Gap Checklist:** Practical checklist for identifying missing policies, approvals, inventories, records, and review artifacts.
- **Regulatory Inquiry Preparation Notes:** Guidance for preparing consistent, defensible responses to likely questions.
- **Accountability Mapping Guide:** Support for clarifying who owns AI controls, documentation, remediation, and reporting.
- **Defensibility Documentation Prompts:** Suggested language for recording review activities, decisions, open risks, and follow-up actions.