

CYBER RISK ASSURANCE & RESILIENCE

AI Assurance Readiness Review

*Independent confidence for boards,
audit committees, and management.*

An independent examination of whether your AI systems
are governed, secure, auditable, validated, monitored, and
aligned with business objectives.



01 — SERVICE OVERVIEW

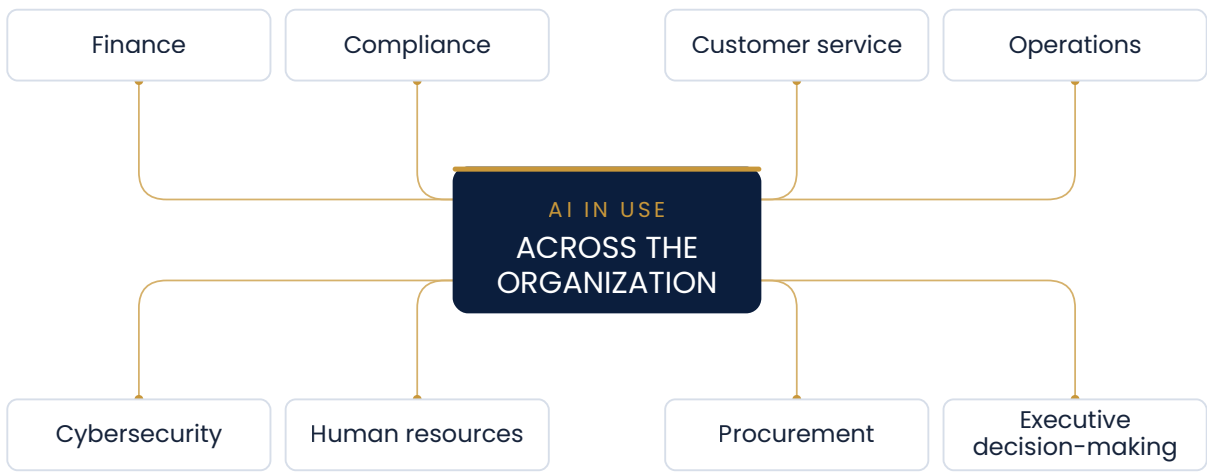
Enthusiasm is not assurance.

As AI becomes part of finance, compliance, customer service, operations, cybersecurity, HR, procurement, and executive decision-making, organizations need more than innovation enthusiasm.

They need assurance.

Dawgen Global's **AI Assurance Readiness Review** helps organizations determine whether AI systems are governed, secure, auditable, validated, monitored, and aligned with business objectives.

WHERE ASSURANCE IS NOW EXPECTED



ONCE AI REACHES THESE FUNCTIONS, THE QUESTION STOPS BEING WHETHER IT WORKS AND BECOMES WHETHER IT CAN BE EVIDENCED

TYPICAL DURATION

3 to 6 weeks

DELIVERY MODEL

**Interviews, review
& control testing**

OUTPUT

**Readiness report
& board presentation**

02 — WHY THIS MATTERS

Seven questions the board is entitled to have answered

Assurance is not the same as confidence. Confidence is what management feels. Assurance is what an independent party can evidence.

01

Do we know where AI is being used?

02

Are AI systems properly governed?

03

Are AI outputs validated?

04

Are human oversight controls effective?

05

Are audit trails maintained?

06

Are AI vendors properly assessed?

07

Can management evidence responsible AI adoption?

RECONSTRUCTING AN AI-SUPPORTED DECISION



Break any link and the decision cannot be reconstructed — which means it cannot be evidenced, reviewed or defended.

03 — OUR ASSESSMENT COVERS

Eight review areas, one assurance view

	AI Governance and Accountability	Evaluate ownership, decision rights, oversight structures, policy framework, risk ownership, and board reporting.
	AI Inventory and Risk Classification	Assess whether AI tools, systems, vendors, use cases, owners, users, data sources, and risk levels have been identified.
	Data Governance and Privacy Controls	Review data access, classification, confidentiality, privacy, retention, data quality, and cross-border considerations.
	Cybersecurity Controls	Assess AI-related cybersecurity risks, including access management, secure integrations, data leakage, prompt injection, API risk, vendor exposure, and incident response.
	Model and Output Validation	Evaluate whether AI outputs are tested for accuracy, reliability, completeness, bias, drift, explainability, and business suitability.
	Human Oversight	Assess whether human review is meaningful, documented, and proportionate to the risk of the AI-supported decision.
	Auditability and Evidence Trails	Examine whether AI-supported decisions can be reconstructed, evidenced, reviewed, and defended.
	Continuous Monitoring	Assess whether AI risks are monitored through dashboards, exception reporting, incident tracking, and management review.

ANCHORED IN RECOGNIZED FRAMEWORKS

NIST CSF 2.0

Govern, Identify, Protect, Detect, Respond and Recover — extended to AI-specific controls and evidence.

IIA Cybersecurity Topical Requirement

Governance, risk management and control process expectations internal audit functions are now measured against.

Your own control set

Findings map to your existing policies, delegations and assurance calendar — not to a generic template.

04 — KEY DELIVERABLES

Assurance the board can rely on

- 01

AI assurance readiness report
- 02

Control maturity assessment
- 03

AI governance gap analysis
- 04

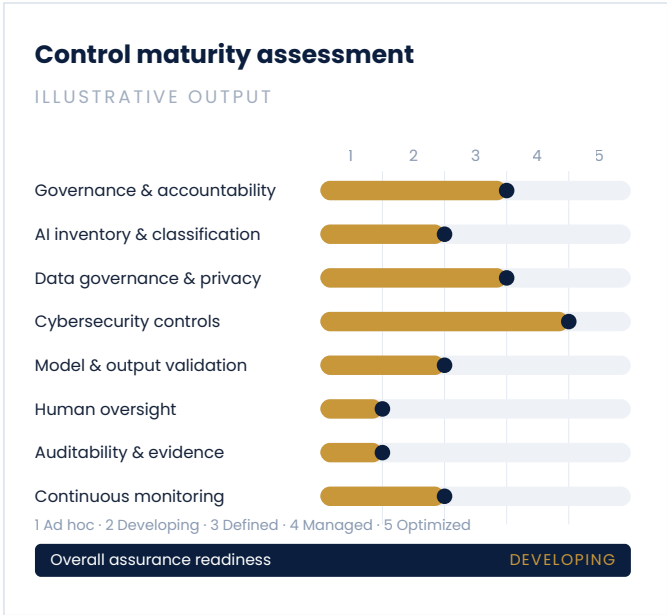
Auditability and evidence trail review
- 05

Cybersecurity and data protection findings
- 06

Board-ready assurance summary
- 07

Practical remediation roadmap

One review, two audiences: the control owners who must close the gap, and the board that must be able to say the position was independently examined.



Board-ready assurance summary

ILLUSTRATIVE EXTRACT

AREA	POSITION
Governance and accountability	ADEQUATE
Output validation	IMPROVEMENT
Human oversight	SIGNIFICANT GAP
Evidence trails	SIGNIFICANT GAP
Continuous monitoring	IMPROVEMENT

One page the audit committee can read in two minutes, supported by the detail behind it.

Practical remediation roadmap

ILLUSTRATIVE EXTRACT

PRIORITY	ACTION	OWNER	TARGET
CRITICAL	Evidence trail defined and retained for AI-supported decisions	Chief Information Officer	30 days
HIGH	Human review documented and proportionate to decision risk	Process owners	60 days
MODERATE	AI exception reporting added to the management dashboard	Chief Risk Officer	90 days

05 — WHO SHOULD CONSIDER THIS SERVICE

For those who must answer for the position, not just hold it



Boards and audit committees



Regulated entities



Internal audit departments



Financial institutions



Public sector organizations



Utilities and critical service providers



Healthcare organizations

06 — BENEFITS TO YOUR ORGANIZATION

From assertion to independent confidence

- ✓ Provide independent confidence over AI use
- ✓ Strengthen governance and control maturity
- ✓ Prepare for audit, regulatory, and stakeholder scrutiny
- ✓ Improve board reporting
- ✓ Reduce operational, cyber, legal, and reputational risk
- ✓ Support responsible scaling of AI

COMMON TRIGGERS FOR THIS REVIEW

The audit committee has asked for assurance over AI and none exists.

Internal audit has AI on the plan but not the specialist capacity.

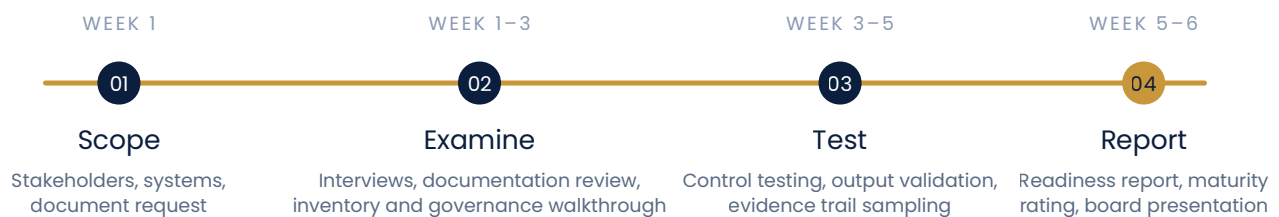
A regulator or examiner has begun asking how AI use is controlled.

AI is about to scale, and nobody has tested the controls first.

07 — ENGAGEMENT FORMAT

An independent review with a defined end point

Typical duration: 3 to 6 weeks | **Delivery model:** Interviews, documentation review, control testing, and executive reporting | **Output:** AI Assurance Readiness Report and board presentation



The review ends where the board's obligation begins — with a single document that says what was examined, what was found, and what happens next.

08 — WHY DAWGEN GLOBAL

Independent. Integrated. Caribbean.

An independent firm

Dawgen Global is an independent, integrated multidisciplinary professional services firm — not affiliated with any international network. Our judgement is our own.

We do not build what we assure

We do not implement the AI systems we review. Independence is not a claim in an assurance engagement; it is the product.

Audit discipline, not commentary

Findings are tested, evidenced and rated — written to survive examination by internal audit, a regulator or an external auditor.

Regional reach and context

Headquartered in New Kingston, Jamaica and operating across 15+ Caribbean territories, with an understanding of local regulatory and board expectations.

CALL TO ACTION

Begin the conversation

Is your board receiving enough assurance over how AI is being used? Contact Dawgen Global today to request an AI Assurance Readiness Review.

REQUEST THE REVIEW

EMAIL

info@dawgen.global

WHATSAPP GLOBAL

+1 555-795-9071

ONLINE

dawgen.global/contact-us

HEAD OFFICE

47 Trinidad Terrace
New Kingston, Jamaica

JAMAICA

876-929-3670
876-665-5926

UNITED STATES

855-354-2447

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Audit & Assurance · Tax Advisory · IT & Digital Transformation · Risk Management · Cybersecurity · HR Advisory
Mergers & Acquisitions · Corporate Recovery · Business Advisory · Accounting BPO & Virtual CFO · Legal Process Outsourcing



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