

Human-in-the-Loop AI Governance Checklist

A practical review tool for organizations putting AI into real operational workflows. Work through each item for one workflow at a time. Anything you cannot answer in writing is a governance gap — not a technology problem.

1. Workflow definition & ownership

- ☐ The workflow is written down: inputs, steps, outputs, and systems used.
- ☐ A named process owner is accountable for the workflow, not just a team.
- ☐ The business purpose is stated (what decision or deliverable it supports).
- ☐ Success criteria are defined before rollout, not after.
- ☐ The prior manual process is documented for comparison and fallback.

2. Human review & approval

- ☐ A named person or role reviews every output before it is used.
- ☐ What the reviewer checks is written down (accuracy, scope, tone, citations, calculations).
- ☐ The reviewer is qualified to judge the content, not just available.
- ☐ Approval is recorded — who approved, when, and which version.
- ☐ There is a defined path for rejecting or escalating bad output.
- ☐ Reviewers are not evaluated in a way that rewards rubber-stamping.

3. Boundaries — where AI is not used

- ☐ Regulatory determinations and interpretations of legal requirements.
- ☐ Incident cause conclusions and disciplinary or personnel decisions.
- ☐ Medical, legal, or credentialed professional judgment.
- ☐ Signed, certified, or attested submissions to regulators or clients.
- ☐ Final safety decisions affecting worker exposure or life safety.
- ☐ Exclusions are written into the SOP, not left to individual judgment.

4. Data handling & access control

- ☐ Approved tools are listed; unapproved tools are named as prohibited.
- ☐ Data classifications allowed as input are defined explicitly.
- ☐ Personal, medical, and confidential client data rules are stated.
- ☐ Access is scoped by role; licensing is tracked.
- ☐ Retention and vendor training settings have been reviewed with IT/security.
- ☐ A reportable-incident path exists for accidental sensitive-data entry.

5. Documentation & auditability

- ☐ A written SOP exists that a new employee can follow unaided.
- ☐ Prompt and input standards are documented for repeatable results.
- ☐ Before/after process maps are stored with the SOP.
- ☐ The record of the process is the reviewed and approved output.
- ☐ Version history and decision log are retained.
- ☐ An auditor could reconstruct how a given output was produced.

6. Training & internal guidelines

- ☐ Staff have been trained on the specific workflow, not just the tool.
- ☐ Limitations and failure modes are covered in training.
- ☐ Internal usage guidelines are published and acknowledged.
- ☐ New hires receive the guidelines during onboarding.
- ☐ A named contact answers questions about acceptable use.

7. Quality monitoring & change control

- ☐ Acceptance criteria are defined for pilot workflows.
- ☐ A checkpoint date is set to evaluate output reliability.
- ☐ Error rates or rework are tracked in some measurable form.
- ☐ Scope is narrowed or the workflow retired when quality does not hold.
- ☐ Tool, model, or prompt changes trigger re-review before expansion.
- ☐ Governance is reviewed on a set interval, at minimum annually.

Scoring: if more than a few boxes in any section are unchecked, that workflow is not ready to expand. Narrow the scope, add the missing control, and re-review.

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