ORGANIZATIONAL READINESS ASSESSMENT

Pre-Phase 1 Gate for AI Agent Deployment

Integrated Governance Stack (IGS)

AIQ Gate

Version 1.0

February 2026

EXECUTIVE SUMMARY

Purpose of This Assessment

This Organizational Readiness Assessment serves as a mandatory gate before organizations can proceed to Phase 1 (Strategic Planning & Scoping) of the Tier 3 Implementation Guide. It evaluates whether your organization possesses the foundational operational capabilities required for successful AI agent deployment; this assessment does not address model capability.

The assessment examines three critical domains:

- Data Infrastructure and Integrity
- Internal Process Integrity
- Use Case Clarity & Governance Alignment

Process Discipline = ROI Protection

Organizations must understand a fundamental truth: AI amplifies existing processes and practices. If your processes are undefined, undocumented, or unenforced, your AI deployment will fail. This is not a result of the technology, but because of operational complacency and lapses in procedural rigor.

The ROI Reality:

If processes are undefined, undocumented, or unenforced:

- The AI systems inherit and amplify existing inefficiencies
- Users will work around the AI system rather than with it
- Adoption typically fails because the AI conflicts with actual (vs. documented) workflows
- **AI investment produces zero return**

AI augmented operations rely on enforced "human-in-the-loop" procedures, not "human-the-rubber-stamp" processes.

Warning

Implementing AI without process discipline is like automating a broken assembly line: the result is the faster production of defective outputs.

Industry-wide research consistently demonstrates that the majority of AI initiatives fail due to operational immaturity rather than model performance limitations. Organizations that deploy AI agents without structured data governance, controlled process frameworks, and defined accountability significantly increase operational, regulatory, and reputational risk.

• 40-80% probability of deployment failure within six months

• Cost overruns from rework and remediation

• Loss of stakeholder trust – clients, customers, internal employees – in AI initiatives

• Wasted investment in technology that cannot function properly without defined processes, procedures, and boundaries.

Governance investment is ROI protection.

Organizations that enforce process controls during AI implementation see:

• Higher user adoption rates

• Measurable productivity gains

• Reduced risk exposure

• Sustainable, scalable AI operations

AI integration does not fix fragmented systems. It scales them.

HOW TO USE THIS ASSESSMENT

Who Should Complete This Assessment

This assessment should involve multiple stakeholders:

- Executive sponsor or business owner
- Process owner for target workflows
- The following as applicable per organizational needs and resources:
    - IT/Technical/AI Lead
    - Compliance/Regulatory/Governance Representative or Auditor

Assessment Process

1. Review each domain's scoring rubric to understand the maturity levels

2. Answer all assessment questions (Yes/No)

3. For each 'Yes' answer, provide verification evidence (document name, system, etc.)

4. Based on the answers, assign a score (0-4) for each domain using the scoring rubric

5. Calculate composite readiness score (sum of all three domains)

6. Review gate logic to determine how organization is recommended to proceed

7. For any identified gaps, create remediation plan before proceeding

Evidence Requirements

For each 'Yes' answer, documented evidence must be presented. Examples of acceptable evidence:

- Document names and locations (not just 'we have a policy') with actual artifacts or snippets of location in drive
- System screenshots showing access controls
- Sample audit logs or compliance reports
- Actual procedure documents with version control
- Existing metrics dashboards or performance data
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Recommended Evidentiary Traceability (Fill in fields as applicable)

1. Evidence Artifact Type
2. System/Document Name

3. Location (URL/Folder Path)
4. Owner
5. Revision Number/Revision Date

The purpose of this assessment is to identify gaps before they become deployment failures, wasting time, effort, and financial resources. Overstating readiness only delays the inevitable failure and loss of ROI.

DOMAIN 1: DATA INFRASTRUCTURE AND INTEGRITY

What This Domain Assesses

Has the organization established and maintained controlled documentation defining data repositories, data movement pathways, designated data owners, and the technical and administrative access controls applied throughout the data lifecycle?

Scoring Rubric (0-4)

Score	Maturity Level
0	Cannot produce documented data inventory or identify data owners.
1	Partial inventory exists but lacks ownership clarity or system mapping.
2	Complete inventory + documented ownership + system mapping verified with evidence.
3	Level 2 + enforced role-based access controls + lineage documentation verified.
4	Level 3 + audit logging + quality monitoring + documented access policy with evidence of enforcement.

Assessment Questions

#	Question	Yes	No
1	Can you produce a complete list of all databases, file shares, and data repositories your organization uses?	☐ Yes	☐ No
2	Is there a documented owner responsible for each data source?	☐ Yes	☐ No
3	Do you have documentation showing how data moves between systems?	☐ Yes	☐ No
4	Are role-based access controls (RBAC) implemented and enforced for data access?	☐ Yes	☐ No
5	Are there existing data access audit logs?	☐ Yes	☐ No

6	Do you have data quality metrics or validation procedures?	☐ Yes	☐ No
7	Is there a documented data control policy?	☐ Yes	☐ No

Domain 1 Score (0-4): _____

Minimum Score Suggestion to Proceed Beyond Phase 1: Domain 1 must score ≥2.

Recommended Documentation Artifacts:

- Versioned Data Inventory
- Data Owner Registry/Hierarchical Ownership Flowchart
- System-to-System Data Flow Map
- Access Control Policy
- Audit Log Example
- Data Quality Monitoring Example

DOMAIN 2: INTERNAL PROCESS INTEGRITY

What This Domain Assesses

Are organizational processes formally documented, consistently executed, and clearly assigned to accountable owners, or are critical activities dependent on undocumented practices and tacit knowledge held by a limited number of individuals?

Scoring Rubric (0-4)

Score	Maturity Level
0	No formal SOPs or documented workflows.
1	SOPs exist but are outdated or inconsistently followed.
2	Current SOPs + documented approval workflows + defined process ownership verified.
3	Level 2 + version control + audit logs + role-bound execution permissions enforced.
4	Level 3 + formal change management process + documented override controls + exception logging.

Assessment Questions

#	Question	Yes	No
1	For the workflow where AI will be deployed, is there a written procedure document?	☐ Yes	☐ No
2	Are roles and responsibilities clearly assigned with documented authority levels (RACI or equivalent)?	☐ Yes	☐ No
3	Are execution permissions enforced based on concrete roles (who can approve, execute, override)?	☐ Yes	☐ No
4	Is there a change control process for updating procedures?	☐ Yes	☐ No
5	Do you have metrics showing current process performance?	☐ Yes	☐ No

6	Is there evidence of procedure compliance (audits, reviews, quality checks)?	☐ Yes	☐ No

Domain 2 Score (0-4): _____

Minimum Score Suggestion to Proceed Beyond Phase 1: Domain 2 must score ≥2.

DOMAIN 3: USE CASE CLARITY & GOVERNANCE ALIGNMENT

What This Domain Assesses

Can the organization define specific, measurable, and documented objectives for AI implementation? Broad or undefined goals (e.g., 'improve efficiency' or 'adopt AI') do not meet regulatory expectations for clarity, risk management, or performance validation. Effective deployment requires clearly defined use cases, measurable success criteria, and explicit operational and ethical constraints.

Scoring Rubric (0-4)

Score	Maturity Level
0	No defined AI use case.
1	Use case described but lacks measurable objectives or risk identification.
2	Defined use case + measurable success criteria + documented risk assessment.
3	Level 2 + formal governance oversight identified + escalation protocol defined.
4	Level 3 + executive sponsorship + defined accountability + performance monitoring plan.

Assessment Questions

#	Question	Yes	No
1	Can you describe the specific task the AI will perform in 2-3 sentences?	☐ Yes	☐ No
2	Have you identified measurable success criteria (accuracy %, time savings, cost reduction)?	☐ Yes	☐ No
3	Do you know what constitutes failure or unacceptable performance?	☐ Yes	☐ No
4	Have you assessed risks specific to this use case?	☐ Yes	☐ No

5	Is there executive commitment of resources (time, budget, personnel) with documented approval?	☐ Yes	☐ No
6	Are there defined human auditors or owners of the process to oversee AI processes?	☐ Yes	☐ No

Domain 3 Score (0-4): _____

Minimum Score Suggestion to Proceed Beyond Phase 1: Domain 3 must score ≥3.

SCORING & GATE LOGIC

Calculate Your Composite Readiness Score

Domain 1: Data Infrastructure and Integrity	_____ (0-4)
Domain 2: Internal Process Integrity	_____ (0-4)
Domain 3: Use Case Clarity & Governance Alignment	_____ (0-4)
COMPOSITE READINESS SCORE	_____ **(0-12)**

Gate Decision Matrix

Score 0-3: Critical Deficiencies

Decision: The organization lacks foundational operational capabilities required for AI deployment.

Required Action: Build foundational data governance, process documentation, and use case definition before considering AI.

Estimated Timeline: 3-6 months of foundational work needed before reassessment.

Score 4-7: Significant Gaps

Decision: Organization can begin Phase 1 Strategic Planning to identify requirements, but it is recommended to close identified gaps before proceeding to Phase 2 (Control Point Analysis).

Required Action: Create gap remediation plan with specific deliverables and timeline. Should not deploy AI until gaps are addressed.

Estimated Timeline: 1-3 months remediation, then re-assess before Phase 2.

Score 8-11: Ready with Minor Gaps

Decision: Organization has adequate operational foundation. Can move through Phase 1 → Phase 2 → deployment.

Required Action: Identified gaps should be addressed during deployment preparation. Continuous monitoring for process drift or new gaps.

Estimated Timeline: Standard deployment timeline. Address minor gaps in parallel with Phase 1-2.

Score 12: Operational Robustness

Decision: Organization demonstrates mature process management. Likely has existing automation and defined workflows.

Required Action: Can proceed through all phases with standard governance oversight.

Estimated Timeline: Accelerated deployment possible. Foundational process maturity enables faster, safer implementation.

Domain Minimal Scoring Suggestions

Composite scoring alone is insufficient to determine deployment readiness.

To advance:

- **Phase 1 Planning Allowed:** Composite score ≥4 AND Domain 1 ≥2 AND Domain 2 ≥2
- **Pre-Deployment Approval:** Composite score ≥8 AND no domain below 3

Organizations failing domain minimal scoring should complete remediation prior to advancement.

GAP REMEDIATION GUIDANCE

For organizations scoring 4-11, use this section to document specific gaps and create a remediation plan.

Identified Gaps (from Assessment)

Domain	Specific Gap	Target Completion	Owner

Common Remediation Actions by Domain

Domain 1: Data Infrastructure and Integrity

• Conduct data inventory audit (catalog all data sources)

• Assign data owners for each identified source

• Implement role-based access controls (RBAC) in key systems

• Enable audit logging for data access

- Document data flows between systems
- Establish data quality metrics and validation procedures

Domain 2: Internal Process Integrity

- Document current-state workflow for target process
- Create RACI matrix (Responsible, Accountable, Consulted, Informed)
- Implement version control for procedure documents
- Define and enforce execution permissions based on roles
- Establish process performance metrics
- Conduct initial process compliance audit

Domain 3: Use Case Clarity & Governance Alignment

- Define specific AI task in concrete, measurable terms
- Establish quantifiable success criteria (%, time, cost)
- Document failure conditions and constraints
- Conduct risk assessment specific to use case
- Secure executive commitment with resource allocation

Suggested Next Steps Based on Scoring

Score 0-3:

1. Do not proceed with AI deployment planning.

2. Prioritize foundational capabilities: data inventory, process documentation, governance.

3. Re-assess in 3-6 months after remediation (or after stakeholders believe foundational capabilities have been achieved).

Score 4-7:

1. Create detailed gap remediation plan.

2. Begin Phase 1 (Strategic Planning) to identify technical requirements.

3. Execute gap remediation in parallel with Phase 1.

4. Re-assess before proceeding to Phase 2 (Control Point Analysis).

5. Do not deploy AI until all critical gaps are closed.

Score 8-11:

1. Proceed to Phase 1: Strategic Planning & Scoping.

2. Address minor gaps in parallel with deployment preparation and document improvements.

3. Maintain vigilance for process drift during implementation.

4. Continue through Phase 2 → Phase 6 with standard governance.

Score 12:

1. Proceed immediately to fulfill Phase 1.

Effective AI deployment requires the organization to document, disseminate, and consistently enforce all associated process modifications. Without structured change management and adherence to defined procedures, technological capability alone cannot ensure successful implementation.

REFERENCES

Industry Research Citations

1. AI Project Failure Rates: RAND Corporation analysis confirms over 80% of AI projects fail, which is approximately double the failure rate of traditional technology initiatives. Industry research spanning 2024-2025 documents consistent failure rates of 70-85% across enterprise AI deployments. S&P Global Market Intelligence's 2025 survey of over 1,000 enterprises across North America and Europe shows 42% of companies abandoned most of their AI initiatives in 2025, up from 17% in 2024, with the average organization scrapping 46% of AI proof-of-concepts before reaching production. IDC research indicates 88% of AI pilots fail to transition into production.

2. Cost Reduction Statistics: McKinsey research on AI implementation demonstrates that leading companies achieve cost savings up to 25% with end-to-end AI integration versus 5% or less savings for isolated experiments. McKinsey projects 15-20% net cost reduction across the banking industry for organizations implementing comprehensive AI governance frameworks.

3. Productivity Gains: McKinsey's 2025 State of AI research identifies that AI high performers (6% of organizations) achieve 2-3x higher productivity gains compared to organizations without process redesign. These high performers are three times more likely to redesign workflows rather than adding AI to existing processes.

4. Financial Impact: Organizations reporting significant financial returns from AI are twice as likely to have redesigned end-to-end workflows before selecting modeling techniques (McKinsey, 2025). High performers attribute over 10% of their EBIT to successful deployment of AI solutions with proper governance frameworks.

Primary Sources

• RAND Corporation. (2024-2025). Analysis of AI Project Success Rates.
• S&P Global Market Intelligence. (2025). Enterprise AI Adoption Survey (1,000+ enterprises, North America and Europe).
• McKinsey & Company. (2025). The State of AI in 2025: Agents, Innovation, and Transformation. McKinsey QuantumBlack.
• IDC Research. (2024-2025). AI Implementation and Production Transition Analysis.
• MIT NANDA Initiative. (2025). The GenAI Divide: State of AI in Business 2025.
• Informatica. (2025). CDO Insights Survey: Obstacles to AI Success.

Note on Statistics

All statistics reflect published research from January 2024 through January 2026, with emphasis on 2025 findings. Organizations considering AI deployment should conduct their own due diligence and consult current industry research for the most up-to-date information.

DISCLOSURE STATEMENT

This Organizational Readiness Assessment was developed with the assistance of AI large language models (Claude by Anthropic, ChatGPT by OpenAI, Grok by xAI) in the following capacities:

- Research synthesis and citation sourcing using publicly available industry reports
- Drafting and structural organization of assessment framework
- Adversarial analysis and gap identification in assessment methodology
- Iterative refinement based on author direction and subject matter expertise

All frameworks, methodologies, scoring criteria, and strategic recommendations were conceived, directed, and validated by the author. Statistical claims are independently verifiable through cited primary sources. Final content approval and responsibility rest with Charlotte Wilborn on behalf of AIQ Gate.

This disclosure reflects AIQ Gate's commitment to transparency in AI-augmented work products and adherence to the governance principles outlined in this assessment.

For more information on the Integrated Governance Stack or for the Tier 3 Implementation Guide-Lite-Pre-Deployment,

visit AIQ Gate

aiqgate.com

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February 2026