

VIKRAM JHA - DEFENSIBLE AI CHECKLIST

AUDIT-EVIDENCE CHECKLIST

Version 1.0 - 22 July 2026

<https://vikramjha.work/artifacts/audit-evidence-checklist>

What a reviewer actually asks for, and the artifact that satisfies each ask.

WHY IT EXISTS

Teams prepare for audits by writing policy. Reviewers ask for evidence. The gap between those two is where examinations go badly.

WHAT IT CONTAINS

1. The reconstruction test - can you show what a specific agent did on a specific date and why it was permitted
2. Authority evidence - the grant, its scope, and the human who issued it
3. Policy evidence - which policy version evaluated the action, and its decision record
4. Change evidence - model and prompt versions in effect at the time of the action
5. Oversight evidence - what a human reviewer saw, and how long they had to see it
6. Retention mapping - how long each class of evidence must survive, per regime
7. Third-party evidence - contracts, audit rights, version notices and tested exit paths
8. Containment evidence - circuit-breaker triggers, kill-path exercise and incident ownership

HOW TO USE IT

1. Select one material historical agent action.
2. Link evidence; do not paste explanations into the evidence column.
3. Mark missing, indirect or unreconstructible evidence as a gap.
4. Have someone outside the delivery team perform the reconstruction test.
5. Record the remediation owner, due date and retest result.

Built from public standards and general practice. No client information appears anywhere in this document. Regulatory instruments move - check anything cited here against its primary source on the day you rely on it.

Free to use and adapt; attribution welcome, not required.