

RICS AI Compliance Checklist

12 areas · 3 phases · Designed for a principals' meeting

Based on the RICS Professional Standard on Responsible Use of AI in Surveying Practice (1st edition, September 2025, ISBN 978 1 78321 555 3). Tick what you have. Flag what is missing. Assign an owner to each gap.

PHASE 1 KNOW AND DECIDE

1 Baseline Knowledge & Training

- Every RICS member using AI has completed documented training on AI types and their limitations.
- Training covers erroneous output risk, bias, and data usage risks.
- Training record held per surveyor with completion date and next refresher date.
- New surveyors complete training before using AI on client work.

2 Material Impact & Appropriateness

- Written material impact determination on file, with reasoning documented.
- Written appropriateness assessment covering surveying services, task nature, alternatives, environmental impact, stakeholder impact, data risks, and risk of bias or erroneous output.
- Assessment reviewed when AI use changes.

PHASE 2 GOVERN

3 Data Governance

- Written data governance policy covering AI use.
- Private and confidential data stored securely (encrypted, backed up).
- Access to such data restricted to staff who strictly need it.
- Staff with access receive annual training on AI-related privacy and confidentiality risks.
- Data anonymised where appropriate before AI processing.

4 Client Consent

- Express written consent obtained from each client before their data is uploaded to any AI system.
- Consent recorded at engagement stage in a format the firm can retrieve on request.
- Reasonable steps taken and recorded to confirm each AI system does not pose unacceptable risk before data upload.

5 Responsible AI Use Policy

- Written responsible AI use policy exists as a document (standalone or added to IT / data protection / engagement policies).
- Policy covers roles, responsibilities, and liabilities for everyone involved in AI procurement and use.
- Policy covers annual training expectations for those individuals.
- Policy covers how human control and judgement interacts with AI (monitoring, dip-sampling).
- Policy covers risk identification and mitigation guidance for staff.
- Policy covers both internally developed and third-party AI systems.

6 AI Usage Register

- Written register of every AI system used in service delivery with material impact.
- Register includes ChatGPT, Copilot, and informal tools used without formal firm procurement.
- Each entry records system name, purpose, date first used, next review date.
- Register reviewed on a defined schedule (e.g. quarterly or annually).

7 Risk Register

- Written risk register covering AI use.
- Each entry covers inherent bias, erroneous outputs, limitations in available information, and data retention.
- Each entry records description, likelihood, impact, mitigation, risk appetite (averse / minimalist / cautious / open / ambitious), status, RAG rating.
- Register reviewed and updated at least quarterly by a responsible staff member.

8 Procurement Due Diligence

- Written due diligence carried out before procuring any third-party AI system with material impact.
- Vendor provided written information on: environmental impact, development stakeholders, data law compliance, permissions for personal data, training data accuracy and diversity, vendor liability.
- Practical testing for fitness for purpose recorded.
- Gaps in vendor information logged in the risk register.

PHASE 3 DELIVER AND PROVE

9 Reliability Assessments

- Written reliability decision recorded for every AI output with material impact.
- Each decision details assumptions, concerns (including dataset reliability), reasons for each concern, mitigations, and fitness-for-purpose conclusion.
- Each decision prepared by or under the supervision of a named, qualified surveyor who accepts responsibility.
- Outputs unfit for purpose communicated to client in writing with reasoning.

10 Dip-Sampling

- Dip-sampling methodology documented for automated or high-volume AI outputs.
- Sampling frequency and selection method specified.
- Escalation thresholds defined for unsatisfactory samples.
- Firm retains full accountability for every output.

11 Client Disclosure

- Written client disclosure in terms of engagement for each client relationship.
- Disclosure covers when AI is involved, which parts of the process it touches.
- Disclosure covers PI cover for AI use if available.
- Disclosure covers how to contest AI use, how to seek redress, how to opt out.
- Disclosure provided in advance of AI being used.

12 Explainability Readiness

- Audit trail maintained at the point AI is used (not retrospectively).
- Firm able to provide on request: type of AI used, its workings and limitations, due diligence, risk management, reliability decisions.
- Records retained for a period consistent with PI and disciplinary limitation periods.

WHAT TO DO NEXT

Read the full guide: bankbuild.com/rics-ai-compliance/guide
Get in touch: hello@bankbuild.com