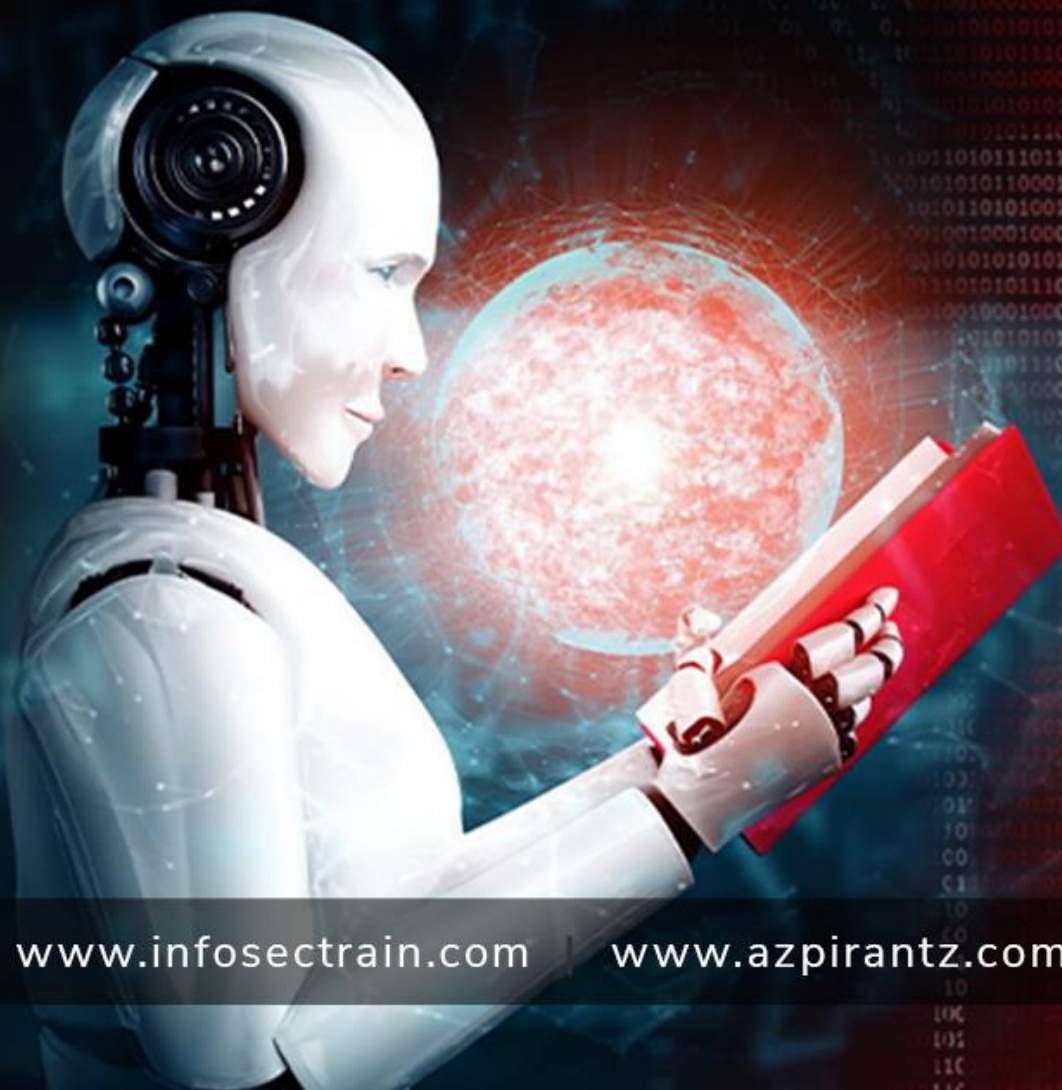


ISO 42001 : 2023

Audit & Control

✓ Checklist



Clause no.	Control name	Control Description	Audit questionnaire	Evidence required
A.2.2	AI policy	The organization shall document a policy for the development or use of AI systems.	<ul style="list-style-type: none"> • Is there a documented AI policy for development or use? • Has management formally approved the policy? • Does the policy define AI development and usage guidelines? 	<ul style="list-style-type: none"> • Approved AI Policy Document • Management Approval Records • Policy Review and Revision Logs
A.2.3	Alignment with other organizational policies	The organization shall determine where other policies can be affected by or apply to, the organization's objectives with respect to AI systems.	<ul style="list-style-type: none"> • Has the organization identified policies that may be impacted by or applicable to AI objectives? • Is there a process to assess and document policy interdependencies related to AI? • Have affected policies been reviewed and updated to align with AI objectives? • Is there a mechanism to ensure ongoing alignment between AI objectives and other policies? 	<ul style="list-style-type: none"> • Documentation of identified affected policies • Records of policy impact assessments • Approved policy updates reflecting AI objectives • Review and approval records for policy modifications
A.2.4	Review of the AI policy	The AI policy shall be reviewed at planned intervals or additionally as needed to ensure its continuing suitability, adequacy and effectiveness.	<ul style="list-style-type: none"> • Is the AI policy reviewed at planned intervals? • Are additional reviews conducted when significant changes occur? • Is there a documented process for policy review and updates? • Are review outcomes approved by management? 	<ul style="list-style-type: none"> • AI Policy Review Schedule • Policy Review and Update Records • Management Approval of Policy Revisions • Meeting Minutes or Review Reports
A.3.2	AI roles and responsibilities	Roles and responsibilities for AI shall be defined and allocated according to the needs of the organization.	<ul style="list-style-type: none"> • Have roles and responsibilities for AI development, deployment, and governance been formally defined? • Are AI-related responsibilities aligned with the organization's needs and objectives? • Has management approved and communicated AI roles and responsibilities to relevant personnel? 	<ul style="list-style-type: none"> • Documented AI roles and responsibilities • Management approval records • Communication records confirming role assignments

A.3.3	Reporting of concerns	The organization shall define and put in place a process to report concerns about the organization's role with respect to an AI system throughout its life cycle.	<ul style="list-style-type: none"> • Is there a documented process for reporting concerns about the organization's role in AI systems? • Does the process define who can report, how to report, and response timelines? • Are reporting channels (e.g., email, portal, hotline) established and communicated? • Are AI-related concerns tracked, reviewed, and resolved with documented actions? • Has the organization conducted awareness sessions on the reporting process? 	<ul style="list-style-type: none"> • Approved AI Concern Reporting Procedure • List of Available Reporting Channels (e.g., email, hotline, portal) • Records of AI-Related Concern Reports and Actions Taken • Communication Logs (e.g., emails, notices) Informing Employees About the Process • Training or Awareness Session Records on AI Concern Reporting
A.4.2	Resource documentation	The organization shall identify and document relevant resources required for the activities at given AI system life cycle stages and other AI-related activities relevant for the organization	<ul style="list-style-type: none"> • Has the organization identified and documented the required resources for each AI lifecycle stage? • Are human, technical, and financial resources explicitly defined? • Is there a process for periodic review and reallocation of AI-related resources? • Has management formally approved the resource allocation for AI activities? 	<ul style="list-style-type: none"> • Documented AI Resource Requirements • Records of Resource Review and Updates • Management Approval for Resource Allocation
A.4.3	Data Resources	As part of resource identification, the organization shall document information about the data resources utilized for the AI system.	<ul style="list-style-type: none"> • Has the organization documented the data resources used for the AI system? • Does the documentation include data sources, types, and ownership? • Are data resource records periodically reviewed and updated? 	<ul style="list-style-type: none"> • Documented AI Data Resource Inventory • Records of Data Source Review and Updates

A.4.4	Tooling resources	As part of resource identification, the organization shall document information about the tooling resources utilized for the AI system.	<ul style="list-style-type: none"> • Has the organization documented the tooling resources used for the AI system? • Does the documentation include software, frameworks, cloud services, and hardware? • Are tooling resources regularly reviewed and updated? 	<ul style="list-style-type: none"> • Documented List of AI Tooling Resources • Records of Tooling Resource Reviews and Updates
A.4.5	System and Computing resources	As part of resource identification, the organization shall document information about the system and computing resources utilized for the AI system.	<ul style="list-style-type: none"> • Has the organization documented the system and computing resources used for the AI system? • Does the documentation specify hardware, software, cloud services, and storage? • Are resource allocations monitored and updated as the AI system evolves? 	<ul style="list-style-type: none"> • Documented AI System and Computing Resources • Inventory of Hardware, Software, and Cloud Services • Records of Resource Updates and Monitoring
A.4.6	Human resources	As part of resource identification, the organization shall document information about the human resources and their competences utilized for the development, deployment, operation, change management, maintenance, transfer and decommissioning, as well as verification and integration of the AI system	<ul style="list-style-type: none"> • Has the organization documented the human resources involved in each AI lifecycle stage? • Are the competencies and skill requirements for these roles clearly defined? • Is there a process to review and update resource allocations as AI systems evolve? • Has management formally approved the assigned human resources for AI activities? 	<ul style="list-style-type: none"> • Documented AI Human Resource Allocation • Competency and Skill Requirement Records • Records of Resource Review and Updates • Management Approval for Assigned Personnel

A.5.2	AI system impact assessment process	The organization shall establish a process to assess the potential consequences for individuals or groups of individuals, or both, and societies that can result from the AI system throughout its life cycle.	<ul style="list-style-type: none"> • Has the organization established a documented process to assess AI system consequences for individuals and society? • Does the assessment cover all lifecycle stages of the AI system? • Are ethical, legal, and social impacts considered in the assessment? • Is there a process for reviewing and updating the assessment based on AI system changes? • Has management approved and implemented the assessment framework? 	<ul style="list-style-type: none"> • Documented AI Impact Assessment Process • Records of Conducted AI Impact Assessments • Review and Update Logs for Assessments • Management Approval of Assessment Framework
A.5.3	Documentation of AI system impact assessments	The organization shall document the results of AI system impact assessments and retain results for a defined period.	<ul style="list-style-type: none"> • Are AI system impact assessments documented after each evaluation? • Does the organization define and follow a retention period for assessment results? • Are assessment results reviewed and approved by relevant stakeholders? • Is there a process to ensure secure storage and accessibility of past assessments? 	<ul style="list-style-type: none"> • Documented AI Impact Assessment Reports • Defined Retention Policy for Assessment Results • Records of Review and Approval of Assessments • Logs or System Records Showing Secure Storage of Past Assessments
A.5.4	Assessing AI system impact on individuals or groups of individuals	The organization shall assess and document the potential impacts of AI systems to individuals or groups of individuals throughout the system's life cycle	<ul style="list-style-type: none"> • Has the organization conducted an assessment of AI system impacts on individuals or groups? • Is the impact assessment documented and aligned with the AI system lifecycle? • Are ethical, legal, and societal risks considered in the assessment? • Is there a process for reviewing and updating impact assessments over time? 	<ul style="list-style-type: none"> • Documented AI Impact Assessment Report • Records of Periodic Impact Reviews and Updates • Risk Assessment Findings Related to AI Systems

A.5.5	Assessing societal impacts of AI systems	The organization shall assess and document the potential societal impacts of their AI systems throughout their life cycle.	<ul style="list-style-type: none"> • Has the organization conducted an assessment of the potential societal impacts of its AI systems? • Is the assessment documented and updated throughout the AI system lifecycle? • Does the assessment consider ethical, legal, and social risks? • Are mitigation measures defined for identified negative societal impacts? • Has management reviewed and approved the societal impact assessment? 	<ul style="list-style-type: none"> • Documented Societal Impact Assessment Reports • Records of Periodic Reviews and Updates • Risk Mitigation Plans for Identified Societal Impacts • Management Approval Records
A.6.1.2	Objectives for responsible development of AI system	The organization shall identify and document objectives to guide the responsible development AI systems, and take those objectives into account and integrate measures to achieve them in the development life cycle	<ul style="list-style-type: none"> • Has the organization identified and documented objectives for responsible AI development? • Are these objectives aligned with ethical, legal, and business requirements? • Have measures been integrated into the AI development lifecycle to achieve these objectives? • Is there a process to review and update AI development objectives periodically? 	<ul style="list-style-type: none"> • Documented AI Development Objectives • AI Lifecycle Process with Integrated Measures • Records of Objective Reviews and Updates
A.6.1.3	Processes for responsible AI system design and development	The organization shall define and document the specific processes for the responsible design and development of the AI system	<ul style="list-style-type: none"> • Has the organization defined and documented processes for responsible AI design and development? • Do the processes address ethical, legal, and security considerations? • Is there a formal review and approval mechanism for AI design and development processes? • Are these processes communicated and followed by AI development teams? 	<ul style="list-style-type: none"> • Documented AI Design and Development Processes • Records of Process Review and Approval • Training or Awareness Records for AI Development Teams

A.6.2.2	AI system requirements and specification	The organization shall specify and document requirements for new AI systems or material enhancements to existing systems.	<ul style="list-style-type: none"> • Has the organization documented requirements for new AI systems and enhancements? • Do the requirements cover functionality, security, compliance, and ethical considerations? • Is there a formal approval process before implementation? • Are requirement documents regularly reviewed and updated? 	<ul style="list-style-type: none"> • Documented AI System Requirements • Approval Records for New or Enhanced AI Systems • Requirement Review and Update Logs
A.6.2.3	Documentation of AI system design and development	The organization shall document the AI system design and development based on organizational objectives, documented requirements and specification criteria	<ul style="list-style-type: none"> • Has the organization documented the AI system design and development process? • Are AI systems designed based on organizational objectives and documented requirements? • Does the documentation include specification criteria for AI system development? • Is there a process to review and update the design and development documentation? 	<ul style="list-style-type: none"> • Documented AI System Design and Development Process • AI System Requirement and Specification Documents • Records of Design Review and Updates
A.6.2.4	AI system verification and validation	The organization shall define and document verification and validation measures for the AI system and specify criteria for their use.	<ul style="list-style-type: none"> • Has the organization defined and documented verification and validation (V&V) measures for AI systems? • Are specific criteria for applying V&V measures clearly outlined? • Is there a process to review and update V&V measures based on AI system changes? • Has management approved and implemented the V&V framework? 	<ul style="list-style-type: none"> • Documented AI Verification and Validation Measures • Defined Criteria for Applying V&V • Records of V&V Implementation and Review • Management Approval for V&V Framework
A.6.2.5	AI system deployment	The organization shall document a deployment plan and ensure that appropriate requirements are met prior to deployment.	<ul style="list-style-type: none"> • Is there a documented AI deployment plan covering all necessary steps? • Does the plan define pre-deployment requirements and validation checks? • Is there a process to verify and approve compliance before deployment? • Has management formally approved the deployment plan? 	<ul style="list-style-type: none"> • Documented AI System Requirements • Approval Records for New or Enhanced AI Systems • Requirement Review and Update Logs

A.6.2.6	AI system operation and monitoring	The organization shall define and document the necessary elements for the ongoing operation of the AI system. At the minimum, this should include system	<ul style="list-style-type: none"> • Has the organization defined and documented the essential elements for the ongoing operation of the AI system? • Does the documentation specify system functionality, maintenance, and monitoring requirements? • Are operational procedures regularly reviewed and updated based on system performance? • Has management approved the operational framework for AI systems? 	<ul style="list-style-type: none"> • Documented AI System Operational Requirements • Maintenance and Monitoring Logs • Records of Operational Reviews and Updates • Management Approval for AI System Operations
A.6.2.7	AI system technical documentation	The organization shall determine what AI system technical documentation is needed for each relevant category of interested parties, such as users, partners, supervisory authorities, and provide the technical documentation to them in the appropriate form.	<ul style="list-style-type: none"> • Has the organization identified the necessary AI system technical documentation for each category of interested parties? • Does the documentation cover users, partners, and regulatory authorities as required? • Is there a process to ensure documentation is updated and maintained? • Are there defined methods for distributing the documentation to relevant parties? 	<ul style="list-style-type: none"> • List of AI System Technical Documentation by Audience Category • Records of Documentation Distribution • Documentation Update and Maintenance Logs
A.6.2.8	AI system recording of event logs	The organization shall determine at which phases of the AI system life cycle, record keeping of event logs should be enabled, but at the minimum when the AI system is in use	<ul style="list-style-type: none"> • Has the organization identified which AI lifecycle phases require event logging? • Are event logs enabled at a minimum when the AI system is in use? • Does the logging process capture relevant AI-related activities and decisions? • Is there a documented log retention and management process? 	<ul style="list-style-type: none"> • Documented AI Logging Requirements • Log Records for AI System Usage Phase • Log Retention and Management Policy

A.7.2	Data for development and enhancement of AI system	The organization shall define, document and implement data management processes related to the development of AI systems.	<ul style="list-style-type: none"> • Has the organization defined and documented data management processes for AI system development? • Do these processes cover data collection, storage, processing, and disposal? • Are data management practices aligned with regulatory and security requirements? • Is there a mechanism to monitor and enforce compliance with data management processes? • Are AI development teams trained on data management policies and procedures? 	<ul style="list-style-type: none"> • Documented AI Data Management Processes • Records of Data Handling Practices (Collection, Storage, Processing, Disposal) • Compliance Reports or Audit Logs on Data Management • Training Records for AI Development Teams
A.7.3	Acquisition of data	The organization shall determine and document details about the acquisition and selection of the data used in AI systems.	<ul style="list-style-type: none"> • Has the organization documented the criteria and process for acquiring and selecting data for AI systems? • Are data sources verified for accuracy, reliability, and compliance with regulations? • Does the organization maintain records of data provenance and justification for selection? • Is there a process to periodically review and update data selection criteria? 	<ul style="list-style-type: none"> • Documented Data Acquisition and Selection Criteria • Records of Data Source Verification and Approval • Logs of Data Provenance and Justification for Use • Review and Update Records for Data Selection Criteria
A.7.4	Quality of data for AI systems	The organization shall define and document requirements for data quality and ensure that data used to develop and operate the AI system meet those requirements.	<ul style="list-style-type: none"> • Has the organization defined and documented data quality requirements for AI systems? • Are there established criteria for accuracy, completeness, consistency, and reliability of data? • Is there a process to validate and monitor data quality during AI development and operation? • Are data quality checks regularly reviewed and updated based on AI system needs? 	<ul style="list-style-type: none"> • Documented Data Quality Requirements for AI • Records of Data Validation and Monitoring Processes • Reports on Data Quality Assessments and Corrections

			<ul style="list-style-type: none"> • Has management approved and communicated the data quality requirements? 	<ul style="list-style-type: none"> • Management Approval for Data Quality Standards
A.7.5	Data provenance	The organization shall define and document a process for recording the provenance of data used in its AI systems over the life cycles of the data and the AI system.	<ul style="list-style-type: none"> • Has the organization defined and documented a process for recording data provenance in AI systems? • Does the process cover data origin, transformations, and usage throughout the AI lifecycle? • Are data provenance records maintained and regularly updated? • Is there a mechanism to verify the integrity and accuracy of provenance records? 	<ul style="list-style-type: none"> • Documented Data Provenance Recording Process • Data Provenance Logs and Records • Records of Periodic Review and Updates • Integrity Verification Reports for Provenance Data
A.7.6	Data preparation	The organization shall define and document its criteria for selecting data preparations and the data preparation methods to be used.	<ul style="list-style-type: none"> • Has the organization defined and documented criteria for selecting data preparation methods? • Are the selected data preparation methods aligned with AI system requirements? • Is there a process to review and update data preparation criteria based on evolving AI needs? • Has management approved the data preparation selection criteria? 	<ul style="list-style-type: none"> • Documented Data Preparation Criteria • List of Approved Data Preparation Methods • Records of Criteria Review and Updates • Management Approval for Data Preparation Standards
A.8.2	System documentation and information for users	The organization shall determine and provide the necessary information to users of the AI system.	<ul style="list-style-type: none"> • Has the organization identified the necessary information that AI system users need? • Is this information clearly documented and accessible to users? • Does the organization provide instructions, limitations, and potential risks of the AI system? • Is there a process to update and communicate changes in AI system information to users? 	<ul style="list-style-type: none"> • Documented AI System User Guidelines • Records of Information Provided to Users • Communication Logs for AI System Updates

A.8.3	External reporting	The organization shall provide capabilities for interested parties to report adverse impacts of the AI system.	<ul style="list-style-type: none"> • Has the organization established a formal mechanism for interested parties to report adverse AI impacts? • Are reporting channels (e.g., portal, email, hotline) accessible and communicated? • Is there a defined process for reviewing, addressing, and responding to reported issues? • Are reports and resolutions documented and maintained for accountability? 	<ul style="list-style-type: none"> • Documented AI Adverse Impact Reporting Procedure • List of Available Reporting Channels • Records of Reported Cases and Actions Taken • Communication Logs Informing Stakeholders About the Reporting Process
A.8.4	Communication of incidents	The organization shall determine and document a plan for communicating incidents to users of the AI system.	<ul style="list-style-type: none"> • Has the organization established and documented a plan for communicating AI system incidents to users? • Does the plan specify incident types, notification timelines, and communication channels? • Are roles and responsibilities defined for incident reporting and user notification? • Is the communication plan tested and reviewed periodically? 	<ul style="list-style-type: none"> • Documented AI Incident Communication Plan • Defined Incident Notification Procedures • Records of Communication Plan Testing and Updates • Incident Logs with User Notifications
A.8.5	Information for interested parties	The organization shall determine and document their obligations to reporting information about the AI system to interested parties.	<ul style="list-style-type: none"> • Has the organization identified and documented its AI system reporting obligations to interested parties? • Are reporting requirements aligned with legal, regulatory, and contractual obligations? • Is there a process for periodic review and updates to reporting obligations? • Are reporting responsibilities formally assigned within the organization? 	<ul style="list-style-type: none"> • Documented AI System Reporting Obligations • Regulatory and Contractual Compliance Records • Review and Update Logs for Reporting Requirements • Assigned Roles and Responsibilities for AI Reporting

A.9.2	Processes for responsible use of AI systems	The organization shall define and document the processes for the responsible use of AI systems.	<ul style="list-style-type: none"> • Has the organization defined and documented processes for the responsible use of AI systems? • Do the processes address ethical considerations, fairness, transparency, and accountability? • Are there guidelines for monitoring and mitigating risks associated with AI usage? • Has management formally approved these processes? • Are employees and stakeholders aware of and trained on responsible AI usage? 	<ul style="list-style-type: none"> • Documented AI Responsible Use Processes • Management Approval Records • 3.Risk Mitigation Guidelines for AI Usage • Training and Awareness Records on AI Ethics and Responsibilities
A.9.3	Objectives for responsible use of AI system	The organization shall identify and document objectives to guide the responsible use of AI systems.	<ul style="list-style-type: none"> • Has the organization defined and documented objectives for the responsible use of AI systems? • Do the objectives align with ethical, legal, and organizational requirements? • Are the objectives communicated to relevant stakeholders? • Is there a process for reviewing and updating these objectives? 	<ul style="list-style-type: none"> • Documented AI Responsibility Objectives • Management Approval Records • Communication Records (e.g., emails, policy documents) • Review and Update Logs
A.9.4	Intended use of the AI system	The organization shall ensure that the AI system is used according to the intended uses of the AI system and its accompanying documentation.	<ul style="list-style-type: none"> • Is there a documented process to ensure AI systems are used only for their intended purpose? • Does the organization maintain records of AI system usage and monitor deviations? • Are AI users provided with clear guidelines and documentation on intended use? • Is there a mechanism to detect and address unauthorized AI usage? 	<ul style="list-style-type: none"> • Documented AI Usage Guidelines • AI System Usage Logs and Monitoring Reports • Records of Unauthorized Usage Incidents and Actions Taken • User Training or Acknowledgment of Intended AI Use
A.10.2	Allocating responsibilities	The organization shall ensure that responsibilities within their AI system life cycle	<ul style="list-style-type: none"> • Has the organization defined and documented responsibilities for each AI lifecycle stage? 	<ul style="list-style-type: none"> • Documented AI Responsibility Matrix

		are allocated between the organization, its partners, suppliers, customers and third parties.	<ul style="list-style-type: none"> • Are roles and responsibilities clearly allocated among internal teams, partners, suppliers, customers, and third parties? • Have all involved parties formally agreed to their assigned responsibilities? • Is there a process to review and update responsibilities as AI systems evolve? 	<ul style="list-style-type: none"> • Agreements or Contracts Defining AI-Related Roles • Records of Periodic Responsibility Reviews and Updates • Communications or Acknowledgments from Relevant Parties
A.10.3	Suppliers	The organization shall establish a process to ensure that its usage of services, products or materials provided by suppliers aligns with the organization's approach to the responsible development and use of AI systems.	<ul style="list-style-type: none"> • Has the organization established a documented process to assess supplier-provided AI services, products, or materials? • Does the process ensure supplier compliance with the organization's responsible AI principles? • Are AI-related supplier agreements reviewed for ethical AI use and security requirements? • Is there a mechanism to regularly monitor and reassess supplier compliance? 	<ul style="list-style-type: none"> • Documented Supplier AI Compliance Assessment Process • Supplier Agreements with AI Responsibility Clauses • Records of Supplier Evaluations and Compliance Reviews • Evidence of Ongoing Supplier Monitoring and Reassessment
A.10.4	Customers	The organization shall ensure that its responsible approach to the development and use of AI systems considers their customer expectations and needs.	<ul style="list-style-type: none"> • Has the organization defined a process to assess customer expectations and needs related to AI systems? • Are customer requirements considered in AI system design, development, and deployment? • Is there a mechanism for gathering and incorporating customer feedback on AI systems? • Has management reviewed and approved the approach to addressing customer expectations? 	<ul style="list-style-type: none"> • Documented Process for Assessing Customer Expectations in AI Development • Records of Customer Feedback and AI System Adjustments • Management Approval for AI Customer Consideration Approach