



# ISO 42001

## Compliance Checklist



ISO 42001 outlines the framework for establishing an Artificial Intelligence Management System (AIMS). This checklist helps organizations ensure their AI systems are responsibly developed, deployed, and governed.

## 1. General Requirements

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**Description:** Define the scope, objectives, and continuous improvement strategy for your AI management system

### CHECKLIST

- ☐ Understand the scope and applicability of ISO 42001 for your organization
- ☐ Define and document objectives of the AI management system
- ☐ Identify key stakeholders and assign responsibilities
- ☐ Align AI governance with broader business strategy
- ☐ Establish a continuous improvement framework for AI governance

## 2. Leadership and Governance

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**Description:** Ensure top management supports and enforces AI governance with well-defined roles, policies, and oversight structures.

### CHECKLIST

- ☐ Secure executive commitment to AI governance
- ☐ Define clear roles and responsibilities for AI oversight
- ☐ Establish AI ethics and risk management policies
- ☐ Create an AI governance committee or equivalent body
- ☐ Provide leadership training on AI compliance and ethics

### 3. Risk Management and Compliance

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**Description:** Identify, assess, and manage AI-related risks while ensuring legal and regulatory compliance.

#### CHECKLIST

- ☐ Conduct thorough risk assessments for AI systems
- ☐ Develop and implement mitigation strategies
- ☐ Continuously monitor AI system performance and risks
- ☐ Ensure compliance with all relevant regulations and laws
- ☐ Maintain and periodically review an AI risk register

### 4. Data Management and Security

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**Description:** Implement robust data governance practices to safeguard data quality, privacy, and security throughout the AI lifecycle.

#### CHECKLIST

- ☐ Develop data governance policies specific to AI
- ☐ Ensure data accuracy, integrity, and quality
- ☐ Establish access controls and data security protocols
- ☐ Define retention and disposal policies for AI data
- ☐ Conduct regular data governance audits



## 5. AI System Development and Operations

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**Description:** Develop and operate AI systems that are transparent, reliable, and aligned with organizational goals.

### CHECKLIST

- ☐ Define the purpose and intended use of AI models
- ☐ Ensure transparency in AI decision-making
- ☐ Continuously monitor model performance and accuracy
- ☐ Establish procedures for responding to AI system failures
- ☐ Implement documentation standards across the AI lifecycle

## 6. Human Oversight and Accountability

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**Description:** Maintain human control and auditability of AI systems, with clear accountability and training on ethical use.

### CHECKLIST

- ☐ Identify and document human intervention points in AI workflows
- ☐ Assign accountability for AI-driven decisions
- ☐ Define explainability and interpretability requirements
- ☐ Train staff on ethical and compliant use of AI
- ☐ Log AI decisions and maintain records for auditing

## 7. Continuous Monitoring and Improvement

**Description:** Establish a feedback loop to evaluate and enhance AI systems regularly, adapting to new risks and regulations.

### CHECKLIST

- ☐ Implement tools for AI performance monitoring
- ☐ Review AI outputs regularly for bias and fairness
- ☐ Set up a feedback mechanism for continuous improvement
- ☐ Conduct both internal and external audits periodically
- ☐ Update AI policies as technologies and regulations evolve

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