



ISO 42001:2023 Artificial Intelligence Management System



kiwa | Compass Assurance Services

SELF ASSESSMENT CHECKLIST

See how it works ►

CONTEXT

THE ORGANISATION

- ☐ Have you determined the internal and external issues that will impact your Artificial Intelligence (AI) management system?
- ☐ Have you determined if Climate Change is a relevant issue?

INTENDED PURPOSES

- ☐ Have you determined the intended purposes for your AI system?

INTERESTED PARTIES

- ☐ Have you determined which internal and external interested parties are relevant to the AI management system and what their requirements are?

SCOPE

- ☐ Have you determined the Scope for your AI management system?





LEADERSHIP

LEADERSHIP & COMMITMENT



Are you able to demonstrate Top Management is providing leadership and commitment to the AI management system?

POLICY



Has an AI policy been established by Top Management?

ROLES, RESPONSIBILITIES & AUTHORITIES



Are roles and responsibilities communicated and understood?

PLANNING

RISK & OPPORTUNITIES



Have you determined the risks and opportunities related to your organisation?



Has an AI risk assessment and risk treatment process been established?



Has an AI system impact assessment process been established?



Do you have plans to address them?

STATEMENT OF APPLICABILITY



Have you documented a Statement of Applicability?

AI OBJECTIVES



Have AI objectives been established?

CHANGE



Are changes to your AI management system planned and controlled?

SUPPORT

RESOURCES



Have you determined and ensured necessary resources are in place for the establishment, implementation, maintenance, and continual improvement of the AI management system?

COMPETENCE



Have you determined and documented the competency of your staff?

AWARENESS



Have you ensured that employees are aware of the AI policy and their contributions to the effectiveness of the AI management system?



Are personnel aware of the implications of not conforming with the requirements of the AI management system?

COMMUNICATION



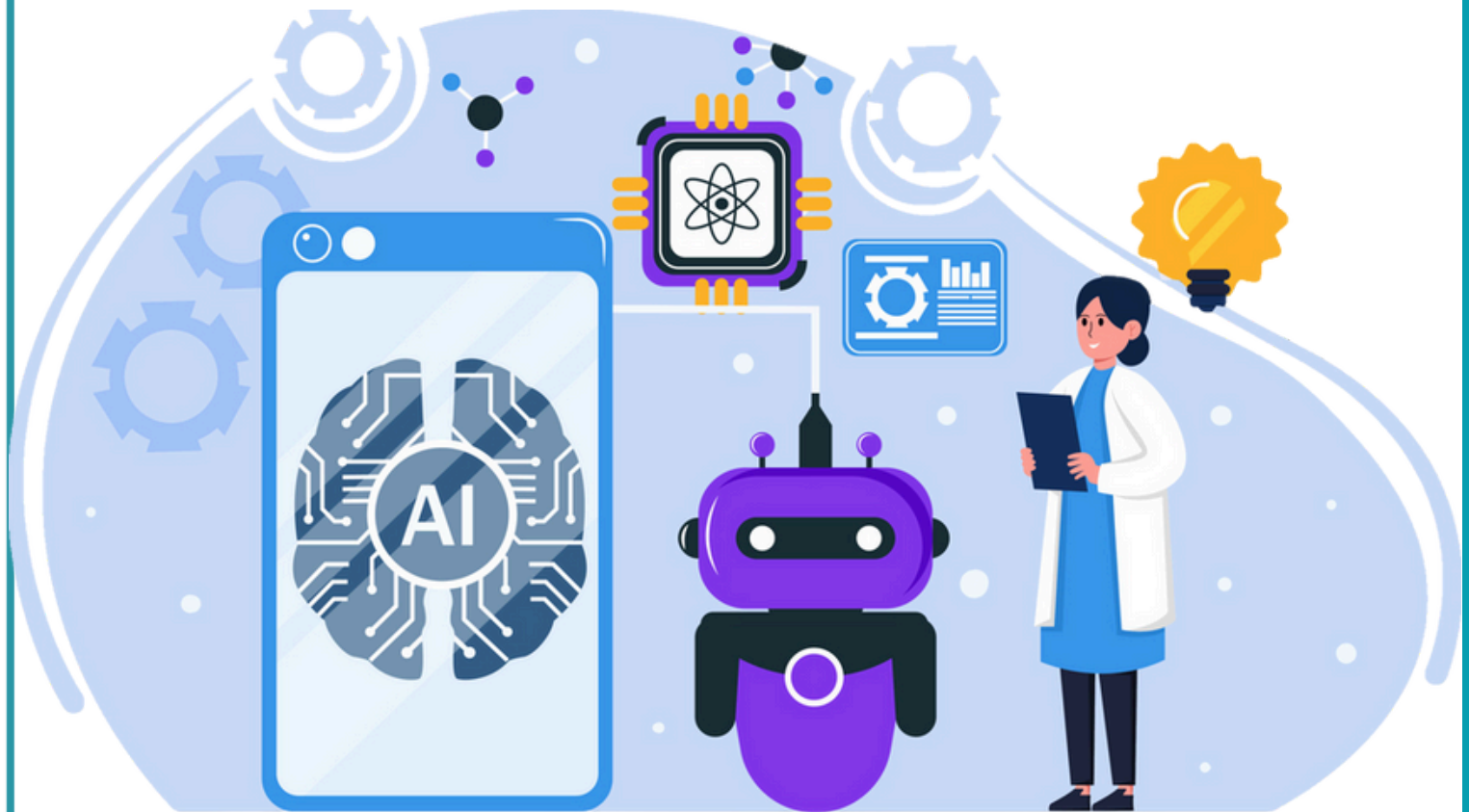
Have you determined the processes for internal and external communication relevant to the AI management system?

DOCUMENTATION



Are all documents and records effectively controlled?





OPERATION

OPERATIONAL PLANNING AND CONTROL

- ☐ Have you established, documented, and maintained procedures to meet the requirements of the AI management system?

RISK ASSESSMENT AND RISK TREATMENT

- ☐ Have AI risk assessments been performed and documented?
- ☐ Have AI risk treatment plans been documented, implemented, and verified for effectiveness?

SYSTEM IMPACT ASSESSMENT

- ☐ Do you conduct system impact assessments?
- ☐ Do you maintain records?

PERFORMANCE EVALUATION

MONITORING & MEASUREMENT



Have you determined what needs to be monitored and measured?



Have you ensured the right procedures are in place to ensure accurate results?



Do you maintain records?

INTERNAL AUDIT



Do you conduct internal audits on your AI management system and record the results?

MANAGEMENT REVIEW



Does your top management review your AI management system at planned intervals?



Do you maintain records?



IMPROVEMENT

CONTINUAL IMPROVEMENT



Do you continually improve your AI Management System?

NON-CONFORMITY & CORRECTIVE ACTION



Do you have processes for reporting, investigating and taking action to manage incidents and corrective action?



Do you maintain records?





Annex A

A.2 Policies Related to AI

A.2.2	AI policy	Documenting an AI policy
A.2.3	Alignment with other organisational policies	Identifying where other policies might impact or relate to its AI objectives
A.2.4	Review of the AI policy	Defining when AI policies should be reviewed

A.3 Internal Organisation

A.3.2	AI roles and responsibilities	Defining AI roles and responsibilities based on what's relevant to your organisation
A.3.3	Reporting of concerns	Setting up a process to report concerns about its role in the AI system throughout its life cycle

A.4 Resources for AI Systems

A.4.2	Resource documentation	Documenting important resources at each AI system life cycle stages
A.4.3	Data resources	Documenting information on data resources used for the system
A.4.4	Tooling resources	Documenting information on tooling resources used for the system
A.4.5	System and computing resources	Documenting information on system and computing resources used for the system
A.4.6	Human resources	Documenting information about HR and their skills used for all the activities within the system



Annex A

A.5 Assessing Impacts of AI Systems

A.5.2	AI system impact assessment process	Creating a process to evaluate the potential impacts of the AI system on individuals, groups, and societies throughout its life cycle
A.5.3	Documentation of AI system impact assessments	Documenting the impact assessment results and defining their retention period.
A.5.4	Assessing AI system impact on individuals or groups of individuals	Documenting the potential impacts on societies (it can be individuals or groups of individuals) of AI systems
A.5.5	Assessing societal impacts of AI systems	Documenting societal impacts (both beneficial and detrimental) of AI systems

A.6 AI System Life Cycle

A.6.1.2	Objectives for responsible development of AI system	Documenting objectives for responsible AI development, including requirements and guidelines as necessary to ensure that measures are integrated into the various stages of the development life cycle
A.6.1.3	Processes for responsible AI system design and development	Documenting design and development processes that demonstrate responsible design of AI systems
A.6.2.2	AI system requirements and specification	Documenting requirements for new AI systems or major updates to existing systems.
A.6.2.3	Documentation of AI system design and development	Documenting its AI system design and development process according to your objectives, documentation, and specification criteria
A.6.2.4	AI system verification and validation	Documenting how to verify and validate the AI system and specify when to use these measures.
A.6.2.5	AI system deployment	Creating a deployment plan and meeting these requirements before deployment



Annex A

A.6 AI System Life Cycle

A.6.2.6	AI system operation and monitoring	Documenting the essential processes for the system including at least system and performance monitoring, repairs, updates and support
A.6.2.7	AI system technical documentation	Deciding what technical documentation is needed for each group of interested parties, like users, partners, and supervisory authorities, and provide it to them in the right format
A.6.2.8	AI system recording of event logs	Deciding when to enable event log record-keeping during the AI system's life cycle, including when the AI system is in use

A.7 Data for AI Systems

A.7.2	Data for development and enhancement of AI system	Documenting and implementing data management processes for developing AI systems
A.7.3	Acquisition of data	Documenting how data for AI systems is acquired and selected
A.7.4	Quality of data for AI systems	Documenting data quality standards and make sure the data used for AI systems meets those standards
A.7.5	Data provenance	Documenting a process for tracking the origin of data used in its AI systems throughout their life cycles
A.7.6	Data preparation	Documenting its criteria for choosing and preparing data



Annex A

A.8 Information for Interested Parties of AI Systems

A.8.2	System documentation and information for users	Identifying and giving users the needed information about the AI system
A.8.3	External reporting	Allowing interested parties to report any negative effects of the AI system
A.8.4	Communication of incidents	Creating a plan on how to communicate incidents to AI system users
A.8.5	Information for interested parties	Documenting what information about the AI system needs to be reported to interested parties

A.9 Use of AI Systems

A.9.2	Processes for responsible use of AI systems	Documenting processes for using AI systems responsibly
A.9.3	Objectives for responsible use of AI system	Documenting objectives which serve as a framework on the responsible use of AI systems
A.9.4	Intended use of the AI system	Making sure that your AI system is used as intended and follows your documentation

A.10 Third-Party & Customer Relationship

A.10.2	Allocating responsibilities	Ensuring responsibilities for your AI systems are shared among your company, your partners, suppliers, customers, and third parties
A.10.3	Suppliers	Creating a process to make sure that the services, products, or materials from suppliers match its responsible AI development and use approach
A.10.4	Customers	Demonstrating that your AI systems meet customer expectations and needs



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