

Compliance Matrix – ISO/IEC 42001:2023



ISO/IEC 42001:2023 – AI Management Systems: Audit Checklist

auditchecklists.org

Reviewed against: ISO/IEC 42001:2023 – First edition 2023-12-18

Regulation leaves: 127 Clause: 85 / 85 Control: 38 / 38 Guideline: 4 / 4 Generated: 2026-05-31

Every leaf of the regulation appears below. Each is mapped to the audit-checklist question(s) that cover it, or marked *informational* where no separate audit question applies (definitions, roll-up parents, scope statements). Question references read Q<n> – open the corresponding article/clause of the checklist and locate the question by its number.

Clause 4

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §4.1	Q1
Clause ISO-42001 §4.1	Q2
Clause ISO-42001 §4.1	Q3
Clause ISO-42001 §4.2(a)	Q4
Clause ISO-42001 §4.2(b)	Q5
Clause ISO-42001 §4.2(c)	Q6
Clause ISO-42001 §4.3	Q7
Clause ISO-42001 §4.3	Q8
Clause ISO-42001 §4.4	Q9

Clause 5

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §5.1(a)	Q1
Clause ISO-42001 §5.1(b)	Q2
Clause ISO-42001 §5.1(c)	Q3
Clause ISO-42001 §5.1(d)	Q4
Clause ISO-42001 §5.1(e)	Q5

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §5.1(f)	Q6
Clause ISO-42001 §5.1(g)	Q7
Clause ISO-42001 §5.1(h)	Q8
Clause ISO-42001 §5.2	Q9
Clause ISO-42001 §5.2(a)	Q10
Clause ISO-42001 §5.2(b)	Q11
Clause ISO-42001 §5.2(c)	Q12
Clause ISO-42001 §5.2(d)	Q13
Clause ISO-42001 §5.2	Q14
Clause ISO-42001 §5.3	Q15
Clause ISO-42001 §5.3(a)	Q16
Clause ISO-42001 §5.3(b)	Q17

Clause 6

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §6.1.1	Q1
Clause ISO-42001 §6.1.1	Q2
Clause ISO-42001 §6.1.1	Q3
Clause ISO-42001 §6.1.1	Q4
Clause ISO-42001 §6.1.2	Q5
Clause ISO-42001 §6.1.2	Q6
Clause ISO-42001 §6.1.3	Q7
Clause ISO-42001 §6.1.3	Q8
Clause ISO-42001 §6.1.3	Q9
Clause ISO-42001 §6.1.4	Q10
Clause ISO-42001 §6.1.4	Q11
Clause ISO-42001 §6.2	Q12
Clause ISO-42001 §6.2(a)	Q13

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §6.2(b)	Q14
Clause ISO-42001 §6.2(c)	Q15
Clause ISO-42001 §6.2(d)	Q16
Clause ISO-42001 §6.2(e)	Q17
Clause ISO-42001 §6.2(f)	Q18
Clause ISO-42001 §6.2(g)	Q19
Clause ISO-42001 §6.2	Q20
Clause ISO-42001 §6.3	Q21

Clause 7

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §7.1	Q1
Clause ISO-42001 §7.2	Q2
Clause ISO-42001 §7.2	Q3
Clause ISO-42001 §7.2	Q4
Clause ISO-42001 §7.3(a)	Q5
Clause ISO-42001 §7.3(b)	Q6
Clause ISO-42001 §7.3(c)	Q7
Clause ISO-42001 §7.4	Q8
Clause ISO-42001 §7.5.1	Q9
Clause ISO-42001 §7.5.2	Q10
Clause ISO-42001 §7.5.3	Q11
Clause ISO-42001 §7.5.3	Q12

Clause 8

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §8.1	Q1
Clause ISO-42001 §8.1	Q2

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §8.1	Q3
Clause ISO-42001 §8.2	Q4
Clause ISO-42001 §8.3	Q5
Clause ISO-42001 §8.4	Q6

Clause 9

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §9.1	Q1
Clause ISO-42001 §9.1	Q2
Clause ISO-42001 §9.2.1(a)	Q3
Clause ISO-42001 §9.2.1(b)	Q4
Clause ISO-42001 §9.2.2	Q5
Clause ISO-42001 §9.2.2	Q6
Clause ISO-42001 §9.3.1	Q7
Clause ISO-42001 §9.3.2(a)	Q8
Clause ISO-42001 §9.3.2(b)	Q9
Clause ISO-42001 §9.3.2(c)	Q10
Clause ISO-42001 §9.3.2(d)	Q11
Clause ISO-42001 §9.3.2(e)	Q12
Clause ISO-42001 §9.3.3	Q13

Clause 10

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §10.1	Q1
Clause ISO-42001 §10.2(a)	Q2
Clause ISO-42001 §10.2(b)	Q3
Clause ISO-42001 §10.2(c)	Q4
Clause ISO-42001 §10.2(d)	Q5

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Clause ISO-42001 §10.2(e)	Q6
Clause ISO-42001 §10.2	Q7

Annex A

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Control ISO-42001 A.2.2	Q1
Control ISO-42001 A.2.3	Q2
Control ISO-42001 A.2.4	Q3
Control ISO-42001 A.3.2	Q4
Control ISO-42001 A.3.3	Q5
Control ISO-42001 A.4.2	Q6
Control ISO-42001 A.4.3	Q7
Control ISO-42001 A.4.4	Q8
Control ISO-42001 A.4.5	Q9
Control ISO-42001 A.4.6	Q10
Control ISO-42001 A.5.2	Q11
Control ISO-42001 A.5.3	Q12
Control ISO-42001 A.5.4	Q13
Control ISO-42001 A.5.5	Q14
Control ISO-42001 A.6.1.2	Q15
Control ISO-42001 A.6.1.3	Q16
Control ISO-42001 A.6.2.2	Q17
Control ISO-42001 A.6.2.3	Q18
Control ISO-42001 A.6.2.4	Q19
Control ISO-42001 A.6.2.5	Q20
Control ISO-42001 A.6.2.6	Q21
Control ISO-42001 A.6.2.7	Q22
Control ISO-42001 A.6.2.8	Q23

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Control ISO-42001 A.7.2	Q24
Control ISO-42001 A.7.3	Q25
Control ISO-42001 A.7.4	Q26
Control ISO-42001 A.7.5	Q27
Control ISO-42001 A.7.6	Q28
Control ISO-42001 A.8.2	Q29
Control ISO-42001 A.8.3	Q30
Control ISO-42001 A.8.4	Q31
Control ISO-42001 A.8.5	Q32
Control ISO-42001 A.9.2	Q33
Control ISO-42001 A.9.3	Q34
Control ISO-42001 A.9.4	Q35
Control ISO-42001 A.10.2	Q36
Control ISO-42001 A.10.3	Q37
Control ISO-42001 A.10.4	Q38

Annex C

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Guideline ISO-42001 C.2	Q1
Guideline ISO-42001 C.3	Q2

Annex D

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Guideline ISO-42001 D.1	Q1
Guideline ISO-42001 D.2	Q2