

ISO/IEC 42001:2023 (whole Part)

Audit Checklist

127 audit questions across **10** sections.

HOW TO USE THIS CHECKLIST

Each question has three boxes the auditor fills in during the audit:

1. **Compliance** — the binary headline: Compliant / Non-compliant.
2. **Classification** — where the gap is, four-state grid: Documented / Implemented matrix.
3. **Finding level** — severity: Maj / Min / Obs (Major nonconformity / Minor nonconformity / Observation).

Severity is the auditor's call on the day, against the real finding — no severity is pre-suggested per question.



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Reference control objectives and controls

Q1 CONTROL

ISO-42001 A.2.2

Has the organisation documented a policy for the development or use of AI systems?

SOURCE VERBATIM

Cite ISO/IEC 42001:2023 Annex A, Control A.2.2 (and Annex B.2.2).

COMPLIANCE

Compliant Non-compliant

CLASSIFICATION (FOUR-STATE)

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

FINDING LEVEL

Maj Min Obs
Maj = Major nonconformity · Min =
Minor nonconformity · Obs =
Observation

SUGGESTED EVIDENCE TO REQUEST

- Documented AI policy

MANAGEMENT SYSTEM REFERENCE:

FINDINGS / NOTES:

Has the organisation determined where other policies can be affected by, or apply to, its objectives with respect to AI systems?

SOURCE VERBATIM

Cite ISO/IEC 42001:2023 Annex A, Control A.2.3 (and Annex B.2.3).

COMPLIANCE

Compliant Non-compliant

CLASSIFICATION (FOUR-STATE)

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

FINDING LEVEL

Maj Min Obs
 Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

SUGGESTED EVIDENCE TO REQUEST

- Mapping of AI objectives to other affected/applicable policies

MANAGEMENT SYSTEM REFERENCE:

FINDINGS / NOTES:

Is the AI policy reviewed at planned intervals, or additionally as needed, to ensure its continuing suitability, adequacy and effectiveness?

SOURCE VERBATIM

Cite ISO/IEC 42001:2023 Annex A, Control A.2.4 (and Annex B.2.4).

COMPLIANCE

Compliant Non-compliant

CLASSIFICATION (FOUR-STATE)

- Documented and Implemented
- Documented Not Implemented
- Not Documented but Implemented
- Not Documented and Not Implemented

FINDING LEVEL

Maj Min Obs
 Maj = Major nonconformity · Min = Minor nonconformity · Obs = Observation

SUGGESTED EVIDENCE TO REQUEST

- AI-policy review schedule + review records

MANAGEMENT SYSTEM REFERENCE:

FINDINGS / NOTES: