



## ISO/IEC 42001 Readiness Checklist

Prepared by Dynamic Comply

Use this checklist to assess your organization's current alignment with ISO/IEC 42001.

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Preparing for ISO/IEC 42001 involves establishing, implementing, maintaining, and continually improving an Artificial Intelligence Management System (AIMS). This standard provides a framework for the responsible development and use of AI systems. Use this checklist as a high-level guide to understand the key areas your organization needs to address.

Here are the essential steps for ISO/IEC 42001 readiness:

- **Understand the Standard and Context**

- **Familiarize yourself with ISO/IEC 42001** requirements, its 10 clauses, and key AI concepts.
- **Define the scope of your AIMS**, identifying which AI systems, processes, and decisions are included, considering your organizational context and interested parties.
- **Secure top management commitment** and assign clear roles and responsibilities for AIMS implementation and governance.
- **Conduct an initial gap analysis** of your current AI practices against ISO/IEC 42001 requirements.

- **Plan and Build Your AIMS Foundation**

- **Identify and assess AI risks and opportunities** relevant to your scoped AI systems (e.g., bias, security, transparency).
- **Plan how to address identified risks and opportunities**, setting AI governance objectives.
- **Build and implement your AIMS framework**, developing necessary policies and procedures.
- **Ensure necessary resources, competence, and awareness** for personnel through training and communication.
- **Develop ethical AI policies** covering aspects like transparency and data privacy.

- **Ensure effective communication** regarding the AIMS, internally and with external parties.
  - **Document processes and maintain documented information** as required by the standard (e.g., scope, policies, procedures, records).
  - **Implement and Operate the AIMS**
    - **Put your planned operational controls into practice** for the development, acquisition, and usage of AI systems, incorporating risk and impact assessments.
    - **Ensure data quality** for your AI systems.
  - **Evaluate and Improve Your AIMS**
    - **Monitor, measure, analyze, and evaluate** the performance and effectiveness of your AIMS.
    - **Conduct internal audits** to verify AIMS compliance and effectiveness.
    - **Perform management reviews** of the AIMS with top management.
    - **Address nonconformities** identified through audits and reviews by taking corrective actions.
    - **Plan for continual improvement** of your AIMS based on evaluation results.
  - **Optional: Prepare for External Certification Audit**
    - **Ensure all AIMS documentation is complete, organized, and audit-ready.**
    - **Engage with a certification body** and prepare for Stage 1 (documentation review) and Stage 2 (implementation effectiveness) audits.
  - **Supporting Activities**
    - **Consider using a compliance management tool** to streamline documentation, risk management, and evidence collection.
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By addressing these high-level areas, your organization can build a solid foundation for ISO/IEC 42001 compliance and demonstrate a commitment to responsible AI.

\*This checklist is a simplified readiness guide. For full assessment and implementation support, contact Dynamic Comply.\*