

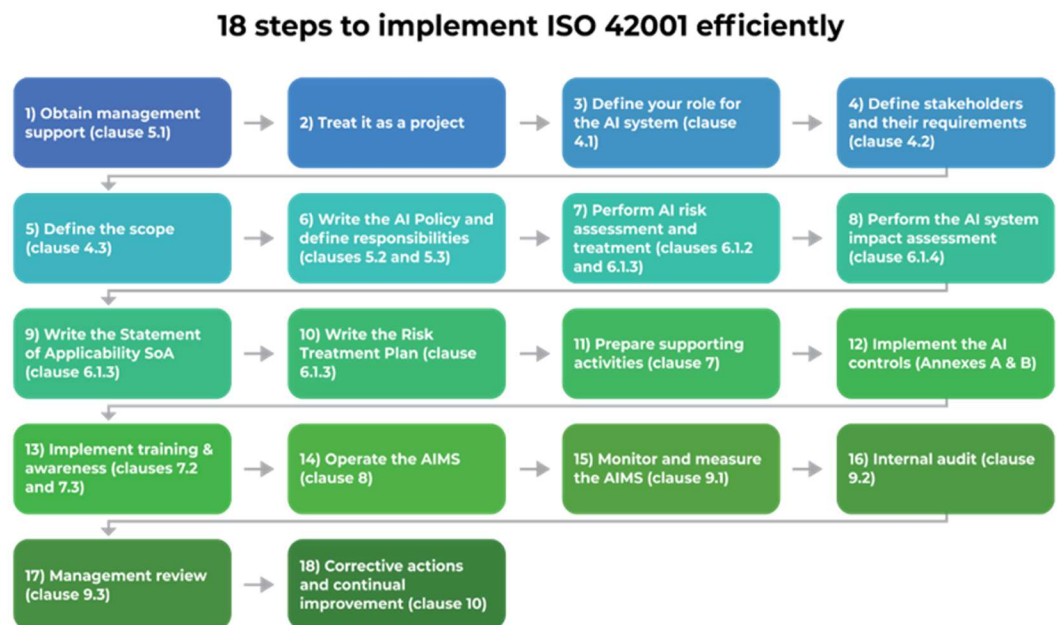


ISO 42001 Checklist of Implementation Steps

Introduction

ISO/IEC 42001 is the world's first AI management system standard, offering guidance for managing AI responsibly. It addresses ethical considerations, transparency, and continuous learning.

This document outlines the optimal steps to fully comply with ISO 42001 and prepare for certification.



1. Obtain Management Support (Clause 5.1)

Senior management commitment is essential. You'll need resources, time, and alignment with company strategy. Present the benefits of

implementing an Artificial Intelligence Management System (AIMS) and explain how AI governance builds trustworthy AI systems.

2. Treat It as a Project

Implementing an AIMS involves multiple teams and may take months. Define a project manager, deliverables, milestones, and a sponsor. Track progress weekly.

3. Define Your Role for the AI System (Clause 4.1)

Determine whether your organization is an AI provider, producer, customer, partner, or subject. This role shapes your governance approach.

4. Define Stakeholders and Their Requirements (Clause 4.2)

Identify all groups affected by your AI systems—customers, employees, regulators, and society. Gather their expectations to guide your governance activities.

5. Define the Scope (Clause 4.3)

Start small. Select which AI systems, products, and departments fall within the AIMS scope. Focus prevents unnecessary workload.

6. Write the AI Policy and Define Responsibilities (Clauses 5.2 & 5.3)

Create a high-level AI governance document outlining principles, objectives, roles, compliance commitments, and continual improvement. Communicate it broadly.

7. Perform AI Risk Assessment and Treatment (Clauses 6.1.2 & 6.1.3)

Develop a Risk Management Methodology defining how risks are identified, analyzed, and evaluated. List risks affecting your company, individuals, and society. Record risk levels and controls in a Risk Register.

8. Perform the AI System Impact Assessment (Clause 6.1.4)

Conduct an in-depth assessment of potential impacts from everyday use or misuse of AI systems. Focus on individuals and society. Document findings and integrate them into the risk assessment.

9. Write the Statement of Applicability (SoA) (Clause 6.1.3)

Identify applicable and excluded controls, justify decisions, and describe implementation. Start with Annex A controls and add any required by your risk assessment.

10. Write the Risk Treatment Plan (Clause 6.1.3)

Translate the SoA into an actionable plan: assign responsibilities, deadlines, budgets, and resources. Obtain senior management approval for the plan and residual risks.

11. Prepare Supporting Activities (Clause 7)

Define how resources (money, technology, data, personnel) will be provided. Establish communication processes for internal and external stakeholders. Set rules for document and record control.

12. Implement the AI Controls (Annexes A & B)

Implement controls according to the Risk Treatment Plan. This may involve policies, procedures, new technologies, and operational tasks. Annex B provides implementation guidance.

13. Implement Training & Awareness (Clauses 7.2 & 7.3)

Educate employees on why controls are needed (awareness) and how to use them (training). Without this, AI governance will fail.

14. Operate the AIMS (Clause 8)

Use the implemented controls in daily work. This step is continuous. Employees must follow AI policies and procedures.

15. Monitor and Measure the AIMS (Clause 9.1)

Define measurement methods, data sources, frequency, and owners. Track incidents, satisfaction, performance, and trends. Use results to improve the AIMS.

16. Internal Audit (Clause 9.2)

Conduct an internal audit before certification and annually thereafter. Use a competent auditor and document nonconformities in an Internal Audit Report.

17. Management Review (Clause 9.3)

Senior management must review the AIMS using various reports. They make decisions on goals, budgets, roles, and responsibilities.

18. Corrective Actions & Continual Improvement (Clause 10)

Identify causes of nonconformities and fix them to prevent recurrence. Seek opportunities for improvement—adjust policies, enhance controls, or adopt new technologies.

Stakeholder Expectations

Stakeholders—including customers, employees, regulators, and society—have expectations regarding AI systems. Collecting these expectations is essential for effective AI governance.