

ISO 42001 Implementation Checklist

All 38 ISO/IEC 42001:2023 Annex A controls, grouped by the nine objectives (A.2 to A.10).



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Tick each control as you build your AI management system (AIMS). Annex A is a reference set: select and justify applicable controls in your Statement of Applicability. Full context for every control is at mindsetcyber.com.au/iso-42001-controls-list.

A.2 Policies related to AI

- ☐ **A.2.2** AI policy
- ☐ **A.2.3** Alignment with other organisational policies
- ☐ **A.2.4** Review of the AI policy

A.3 Internal organisation

- ☐ **A.3.2** AI roles and responsibilities
- ☐ **A.3.3** Reporting of concerns

A.4 Resources for AI systems

- ☐ **A.4.2** Resource documentation
- ☐ **A.4.3** Data resources
- ☐ **A.4.4** Tooling resources
- ☐ **A.4.5** System and computing resources
- ☐ **A.4.6** Human resources

A.5 Assessing impacts of AI systems

- ☐ **A.5.2** AI system impact assessment process
- ☐ **A.5.3** Documentation of AI system impact assessments
- ☐ **A.5.4** Assessing AI system impact on individuals or groups of individuals
- ☐ **A.5.5** Assessing societal impacts of AI systems

A.6 AI system life cycle

- ☐ **A.6.1.2** Objectives for responsible development of AI system
- ☐ **A.6.1.3** Processes for responsible design and development of AI systems
- ☐ **A.6.2.2** AI system requirements and specification
- ☐ **A.6.2.3** Documentation of AI system design and development
- ☐ **A.6.2.4** AI system verification and validation
- ☐ **A.6.2.5** AI system deployment
- ☐ **A.6.2.6** AI system operation and monitoring
- ☐ **A.6.2.7** AI system technical documentation
- ☐ **A.6.2.8** AI system recording of event logs

A.7 Data for AI systems

- ☐ **A.7.2** Data for development and enhancement of AI system
- ☐ **A.7.3** Acquisition of data
- ☐ **A.7.4** Quality of data for AI systems
- ☐ **A.7.5** Data provenance
- ☐ **A.7.6** Data preparation

A.8 Information for interested parties of AI systems

- ☐ **A.8.2** System documentation and information for users
- ☐ **A.8.3** External reporting
- ☐ **A.8.4** Communication of incidents
- ☐ **A.8.5** Information for interested parties

A.9 Use of AI systems

- ☐ **A.9.2** Processes for responsible use of AI systems
- ☐ **A.9.3** Objectives for responsible use of AI system
- ☐ **A.9.4** Intended use of the AI system

A.10 Third-party and customer relationships

- ☐ **A.10.2** Allocation of responsibilities
- ☐ **A.10.3** Suppliers
- ☐ **A.10.4** Customers

Prepared by Mindset Cyber, an Authorised PECB Training Partner. For the PECB ISO/IEC 42001 Lead Implementer course, see mindsetcyber.com.au. This checklist is a study aid and does not replace the ISO/IEC 42001 standard.