
SELF-ASSESSMENT WORKSHEET

ISO/IEC 42001 — AI Management Systems

Work through each clause, record what you do today, rate where you are and agree the actions that close the gap.

ORGANISATION

COMPLETED BY

DATE

How to rate: 0 = nothing in place 1 = partly in place 2 = in place, little evidence 3 = in place and evidenced
Fill in on screen or print. Always work from the current published standard.

How to complete this worksheet

- 1 Get the right people together**
Ask the person who runs each area to help. Allow 1–2 hours per sitting; you don't have to finish in one go.
- 2 Read each clause and the evidence prompt**
The grey box tells you what an auditor will look for. The examples underneath show the kind of records that count.
- 3 Write what you actually do today**
Describe the real practice, not what you'd like to happen. Name the document, system or record and where it's kept, e.g. 'Training matrix — SharePoint/HR, updated monthly'.
- 4 Rate honestly from 0 to 3**
0 nothing in place · 1 partly in place or informal · 2 in place but little written proof · 3 in place, followed and evidenced with records. If you can't show it, it isn't a 3.
- 5 Agree actions, owners and due dates**
For anything rated 0–2, write the next practical step, who will do it and by when. Small, specific actions get done.
- 6 Summarise and review**
List your top three priorities on the final page. Revisit the worksheet every few months to track progress.

What counts as good evidence?

- Good evidence is current, approved, dated and actually used — a policy nobody follows isn't evidence.
- Records beat documents: a completed checklist proves more than the procedure that describes it.
- Photos, screenshots, emails and system exports all count if they show the activity happening.
- Leave a box blank rather than guess — blanks show you where to look first.

CLAUSES 1-3

Scope, references and definitions

These opening clauses explain what ISO/IEC 42001 covers, list any documents it relies on and define its key terms. They contain no requirements you are audited against.

Evidence to look for: Read the definitions once — words like 'shall', 'interested party' and 'documented information' have precise meanings in an audit.

Examples of suitable evidence

- ✓ Copy of the current ISO/IEC 42001 standard
- ✓ Reference copy of ISO/IEC 22989 terminology
- ✓ Internal glossary of AI terms and definitions
- ✓ Staff briefing slides explaining the standard's scope

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 4

Context of the organisation

Understand your role with AI (developer, provider, user), the issues and interested parties affecting AI use, and define the scope of the AI management system.

Evidence to look for: An inventory of AI systems — including third-party tools — and a scope statement.

Examples of suitable evidence

- ✓ Context register identifying business issues and the organisation's AI roles
- ✓ Interested parties register recording customer, regulator and employee expectations
- ✓ Approved AI management system scope statement
- ✓ AI system inventory showing activities covered by the scope

What we do today / evidence we hold**Actions to close the gap****Owner**

Due

Rating
☐ 0

☐ 1

☐ 2

☐ 3

CLAUSE 5

Leadership

Top management must own the AI management system: set the policy, assign roles and responsibilities, provide resources and make it part of normal business decisions. Responsibility can be delegated; accountability cannot.

Evidence to look for: Directors can explain the policy, review results at board level and remove obstacles. A signed policy alone is not enough.

Examples of suitable evidence

- ✓ AI policy approved and signed by the managing director
- ✓ Organisation chart identifying AI management responsibilities and reporting lines
- ✓ Board minutes recording AI decisions and assigned actions
- ✓ Approved budget allocating staff time and funding for AI management

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 6

Planning

Assess AI risks, carry out AI system impact assessments on individuals and society, choose controls and record a Statement of Applicability against Annex A, and set AI objectives.

Evidence to look for: Impact assessments per use case, an AI risk register and an SoA.

Examples of suitable evidence

- ✓ AI risk register recording assessments, owners and treatment plans
- ✓ AI system impact assessments covering affected individuals and wider society
- ✓ Statement of Applicability recording Annex A control selections and exclusion reasons
- ✓ AI objectives plan with measurable targets, responsible owners and deadlines

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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CLAUSE 7**Support**

Provide the people, competence, awareness, communication, infrastructure and controlled documents and records the AI management system needs.

Evidence to look for: Training is based on the work people actually do, current instructions are easy to find and old versions are withdrawn.

Examples of suitable evidence

- ✓ AI competence matrix with training records and assessed skills
- ✓ Staff AI awareness briefing attendance records
- ✓ AI communications plan identifying audiences, messages, responsibilities and timing
- ✓ Controlled document register showing approvals, versions and review dates

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	☐	☐	☐	☐
					0	1	2	3

CLAUSE 8**Operation**

Operate the planned controls across the AI life cycle: data quality and provenance, model development and validation, deployment, monitoring, human oversight and supplier controls.

Evidence to look for: Model cards or system records, data lineage, test results and change approvals.

Examples of suitable evidence

- ✓ Data quality checks and provenance logs for training datasets
- ✓ Model validation reports and deployment approval records
- ✓ Live monitoring logs recording alerts and human review decisions
- ✓ AI supplier assessment records and agreed operational safeguards

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	☐	☐	☐	☐
					0	1	2	3

CLAUSE 9**Performance evaluation**

Decide what to monitor and measure for AI performance and risk, analyse the results, run a planned programme of impartial internal audits and hold management reviews at planned intervals.

Evidence to look for: Use a handful of meaningful indicators, audit real work rather than paperwork, and minute the decisions management review actually takes.

Examples of suitable evidence

- ✓ AI performance dashboard with monitoring results and trend analysis
- ✓ Internal audit programme showing dates, scope and independent auditor assignments
- ✓ Completed internal audit reports documenting findings and supporting evidence
- ✓ Management review minutes recording decisions, improvement actions and resource needs

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	0	1	2	3
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CLAUSE 10**Improvement**

When something goes wrong, deal with the immediate effect, find the root cause, take action so it does not recur and check the action worked. Keep improving the system over time.

Evidence to look for: A nonconformity is only closed when you have evidence the cause was fixed — not when the form is completed.

Examples of suitable evidence

- ✓ AI incident log recording immediate containment and correction actions
- ✓ Root cause investigation report for an incorrect AI recommendation
- ✓ Corrective action register showing owners, deadlines and effectiveness checks
- ✓ Continual improvement log recording implemented changes and measured benefits

What we do today / evidence we hold**Actions to close the gap**

Owner		Due		Rating	0	1	2	3
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ANNEX A

AI reference controls

Annex A lists controls covering AI policy, internal organisation, resources, impact assessment, life cycle, data, information for interested parties, use of AI and third-party relationships.

Evidence to look for: Use Annex B guidance to implement controls proportionately; justify any exclusion.

Examples of suitable evidence

- ✓ AI policy with approved rules for acceptable use
- ✓ AI resource register listing datasets, computing infrastructure and responsible staff
- ✓ AI life cycle procedure covering impact assessments, validation and human oversight
- ✓ Supplier contracts defining AI responsibilities and information supplied to customers

What we do today / evidence we hold

Actions to close the gap

Owner		Due		Rating	0	1	2	3
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Summary and next steps

Top three priorities

Resources or support needed

Target date for certification or review

Want a second pair of eyes?

Send your completed worksheet to our success team for a free review call.

success@isology.co.uk · www.isology.co.uk/contact