



## INTERNAL AUDIT CHECKLIST (AI-SPECIFIC) TEMPLATE

Organization Name: \_\_\_\_\_

Department: \_\_\_\_\_

Audit Date: \_\_\_\_\_

Auditor(s): \_\_\_\_\_

Process/Function Audited: \_\_\_\_\_

Standard Reference: ISO/IEC 42001:2023

### SECTION 1: GENERAL INFORMATION

Item	Question	Yes	No	N/A	Evidence / Comments
1.1	Is the AIMS documented, approved, and communicated to all relevant stakeholders?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.2	Are roles and responsibilities for AI governance clearly defined and understood?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
1.3	Has the organization defined the scope of the AIMS, including AI systems, lifecycle stages, and boundaries?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

### SECTION 2: LEADERSHIP & POLICY (Clause 5)

Item	Question	Yes	No	N/A	Evidence / Comments
2.1	Is top management demonstrating leadership and commitment to AI governance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.2	Has an AI policy been documented, approved, and communicated within the organization?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
2.3	Does the AI policy address ethical use, bias prevention, transparency, and compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

### SECTION 3: PLANNING (Clause 6)

Item	Question	Yes	No	N/A	Evidence / Comments
3.1	Are AI objectives established and aligned with organizational strategy?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

3.2	Are risks and opportunities related to AI identified, assessed, and documented?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
3.3	Are plans in place for managing changes in AI systems or governance structure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

#### SECTION 4: SUPPORT (Clause 7)

Item	Question	Yes	No	N/A	Evidence / Comments
4.1	Does the organization have sufficient resources and competencies to manage AI systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.2	Has the organization established AI-related awareness programs?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
4.3	Is documented information properly controlled (versioning, access, retention)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

#### SECTION 5: OPERATION (Clause 8)

Item	Question	Yes	No	N/A	Evidence / Comments
5.1	Are AI operational controls defined and implemented effectively?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.2	Are AI impact assessments conducted prior to deployment and during the lifecycle?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.3	Are procedures in place to manage changes to AI systems?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
5.4	Are AI risks, including bias and unintended consequences, regularly monitored and mitigated?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

#### SECTION 6: PERFORMANCE EVALUATION (Clause 9)

Item	Question	Yes	No	N/A	Evidence / Comments
6.1	Are KPIs for AI governance defined and monitored?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.2	Are internal audits conducted at planned intervals for AIMS compliance?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
6.3	Are management reviews conducted, and do they include AI performance, risks, and opportunities?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

#### SECTION 7: IMPROVEMENT (Clause 10)

Item	Question	Yes	No	N/A	Evidence / Comments
7.1	Are nonconformities related to AI systems identified, documented, and corrected?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.2	Are corrective actions implemented and verified for effectiveness?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
7.3	Is there evidence of continual improvement in AI governance processes?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

#### AUDIT FINDINGS SUMMARY

- **Conformities:** \_\_\_\_\_
- **Nonconformities:** \_\_\_\_\_
- **Opportunities for Improvement:** \_\_\_\_\_

AUDITOR'S SIGNATURE: \_\_\_\_\_

AUDITEE'S SIGNATURE: \_\_\_\_\_

- ✓ This template is structured for **AI-specific internal audits** covering governance, ethics, risk management, operational control, and continual improvement.
- ✓ It aligns with **ISO 42001 clauses 4–10**.
- ✓ It can be customized for different departments or AI lifecycle stages.