

## **AI Audit Programme Plan Template**

### **Purpose**

This template provides a structured plan for scheduling, organizing, and managing AI audits. It ensures coverage of objectives, scope, resources, responsibilities, and timelines across the AI audit cycle.

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### **1. General Information**

- **Organization Name:** \_\_\_\_\_
- **AI Management System (AIMS) Reference:** \_\_\_\_\_
- **Audit Programme Period (e.g., 2025–2027):** \_\_\_\_\_
- **Prepared by:** \_\_\_\_\_
- **Approved by:** \_\_\_\_\_

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### **2. Audit Objectives**

*(Define the main purpose of the audit programme. Align with ISO/IEC 22989, 24368, 5259-1, and 19011 principles.)*

- Verify conformity of AIMS with applicable ISO/IEC standards
- Assess compliance with organizational AI policies and procedures
- Evaluate effectiveness of ethical, legal, and risk controls in AI operations
- Identify opportunities for improvement in AI governance, fairness, transparency, and accountability
- Provide assurance to stakeholders regarding trustworthy and responsible AI

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### **3. Audit Scope**

*(Define what is included/excluded in the audit programme.)*

- **Included Functions/Departments:** \_\_\_\_\_
- **AI Systems / Projects in Scope:** \_\_\_\_\_



- Processes Covered (e.g., data quality, AI model lifecycle, ethics, governance): \_\_\_\_\_

- Exclusions (if any): \_\_\_\_\_

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#### 4. Audit Frequency & Schedule

| Audit Type      | Frequency                          | Planned Dates | Notes |
|-----------------|------------------------------------|---------------|-------|
| Internal Audit  | Quarterly / Bi-Annually / Annually | _____         | _____ |
| External Audit  | Annually / Certification Cycle     | _____         | _____ |
| Follow-Up Audit | As needed                          | _____         | _____ |

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#### 5. Resources & Logistics

| Resource Type           | Requirements / Notes  |
|-------------------------|---|
| Audit Team Members      | Lead Auditor, Auditors, Technical Experts                               |
| Competence Requirements | Knowledge of ISO standards, AI ethics, data governance, ML processes    |
| Time Allocation         | Estimated hours/days per audit  |
| Budget                  | Travel, training, tools, consultancy                                    |
| Tools & Technology      | Audit management software, AI validation tools, data quality dashboards |

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#### 6. Roles & Responsibilities

| Role                    | Responsibilities   |
|-------------------------|--|
| Audit Programme Manager | Oversees entire audit programme; ensures objectives are met        |
| Lead Auditor            | Plans and conducts audits, prepares reports, communicates findings |

|                           |   |
|---------------------------|---|
| Audit Team Members        | Collect evidence, interview stakeholders, perform testing             |
| Technical Experts         | Provide domain expertise (e.g., ML, cybersecurity, data ethics)       |
| Auditee (AI Team / Dept.) | Provides access, documentation, and responses to findings             |
| Top Management            | Reviews programme results, ensures corrective actions are implemented |

## 7. Reporting & Follow-Up

- **Audit Reports:** Prepared by Lead Auditor within \_\_\_ days of audit
- **Corrective Action Tracking:** Maintained by Audit Programme Manager
- **Review Meetings:** Frequency \_\_\_ (e.g., quarterly with management)
- **Escalation Process:** Define how unresolved issues are reported to top management

## 8. Audit Programme Review

*(To ensure continuous improvement of the audit programme itself)*

- Annual review of audit programme effectiveness
- Update based on changes in organization, AI technology, or regulations
- Lessons learned documented and integrated into next cycle

 This structure allows the document to be **customized per organization and audit cycle** while staying aligned with ISO/IEC 19011 auditing guidance.