



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.

1. General Information

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

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
-

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): _____

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	_____	_____

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

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.