AI & Data Governance · Switzerland

ISO/IEC 42001 – AI Management System Checklist

For organisations building an AI management system (AIMS) under ISO/IEC 42001 – with or without certification.

Manage your AI risks

- ☐ Define the scope: systems, functions and sites.
- ☐ Clarify the organisational context and stakeholder expectations.
- ☐ Record legal, regulatory and contractual requirements for AI.

Assign ownership

- ☐ Secure top-management backing and an approved AI policy.
- ☐ Assign roles, responsibilities and authorities.
- ☐ Set, measure and regularly review AI objectives.

Build evidence

- ☐ Systematically assess AI risks and the impact of AI systems.
- ☐ Implement controls across the whole lifecycle – from data to retirement.
- ☐ Document policies, procedures and records.
- ☐ Build competence and communicate internally.
- ☐ Integrate suppliers and third-party AI into the management system.

Prepare for audits

- ☐ Monitor and evaluate the performance of AI systems and the AIMS.
- ☐ Conduct internal audits and management reviews regularly.
- ☐ Correct nonconformities and improve continually.
- ☐ If certification is planned: prepare for stage 1 and 2 audits with realistic evidence.

This checklist provides general orientation and does not constitute legal advice. dujzba · dujzba.com